NEW YORK STATE

BOARD OF ELECTIONS

HANDBOOK OF INSTRUCTIONS

FOR

CAMPAIGN FINANCIAL DISCLOSURE

2008

CF-17

rev. 03/08

INTRODUCTION

Welcome to the New York State Board of Election's *Handbook of Instructions for Campaign Financial Disclosure - 2008*. This *Handbook* contains all necessary information and instructions to enable Candidates and Committees to comply with the Campaign Financial Disclosure requirements in Article 14 of the New York State Election Law and Part 6200 of the Board's Rules and Regulations, including:

- Who must register and file
- What must be filed
- When to file
- Where to file
- How to file
- Contribution and Receipt Limitations
- Duties and Responsibilities of a Treasurer
- Miscellaneous related topics

For information concerning the filing requirements of the New York City Campaign Finance Board or any Local Board of Elections which utilizes or requires electronic filing (e.g., Suffolk County), consult that agency directly.

The Campaign Finance Disclosure filing requirements illustrated below are not comprehensive, but, rather, are general in nature. Greater details, including exceptions and alternatives, are described in the *Handbook*.

Candidates running for State Offices (Governor, Lt. Governor, Comptroller, Attorney General, Senate and Assembly, State Supreme Court Justice) and certain Party Offices, and the Committees supporting or opposing those Candidates, including Party and Constituted Committees, MUST REGISTER and FILE with the **New York State Board of Elections (NYSBOE).** Such filings must be made electronically, unless a waiver allowing filing on paper has been applied for and granted in writing.

Local Filers, who are Candidates running for all other Public and Party Offices, and the Committees supporting or opposing those Candidates, including Party and Constituted Committees, MUST REGISTER and FILE with the **appropriate County or City Board of Elections,** unless exempt from filing under Election Law §14-124**.**

Additionally, Local Filers who raise or spend, or expect to raise or spend, more than $1,000 in any calendar year are also required to file Campaign Financial Disclosure Statements with NYSBOE, in addition to filing with their Local BOE. Such filings made with NYSBOE MUST be made electronically, unless a waiver has been applied for and granted in writing. The $1,000 raised or spent (including Candidate contributions/expenditures to their own Campaign) relates to financial activity (receipts or expenditures) in the calendar year, not an ending cash balance.

Any Filer once registered with NYSBOE must continue to make all required filings until the Filer requests a Termination in writing to NYSBOE and it is granted in writing by NYSBOE. Terminating with a County/City Board does not automatically terminate filing requirements with NYSBOE and vice versa. Termination must be requested and processed separately with each Board where a Filer is registered. Simply closing the Filer's bank account does not terminate the obligation to file Financial Disclosure Statements with the applicable Board(s) of Elections.

For Village Elections run by the Village Clerk, Candidates and Committees **solely** supporting or opposing Candidates for Village Office must register and file with the Village Clerk. For Village Elections run by a County Board of Elections, such registrations and filings must be made with the County Board of Elections.

NOTE: For Village Elections run by the Village Clerk, where Filers with the Village Clerk have Campaign Finance activity outside of the Village Election in question (e.g., supporting/opposing Candidates and/or Committees for Town, County or State Offices; transfers to Party or Constituted Committees outside of the Village), the Filers will then also have an obligation to register and file with the appropriate County and/or State Board of Elections.

For Village Elections run by a County Board of Elections, which would then require that the filings be made with that County BOE, where the receipts or expenditures exceed or are expected to exceed $1000, then such registrations and filings must also be made with NYSBOE electronically, unless a waiver allowing filing on paper has been applied for and granted in writing.

Committees supporting or opposing Statewide ballot propositions must register and file with NYSBOE. Committees supporting or opposing Local Ballot Propositions must register and file with the appropriate Local Board of Elections. Any such Committee supporting or opposing a local ballot proposition that raises or spends, or expects to raise or spend more than $1,000 in the Calendar Year, relative to said Local Ballot Proposition, must also register and submit Disclosure Reports with NYSBOE, in addition to filing with their Local Board.

The computer software necessary to comply with NYSBOE's electronic filing requirement, as well as installation and instructions for use, and forms for Registration, is available at NYSBOE's website at www.elections.state.ny.us.

All paper forms described in this *Handbook* may be printed from NYSBOE's website at www.elections.state.ny.us and are also available at Local Boards of Elections.

If you have any problems or questions that are not resolved by reading this *Handbook,* call the NYSBOE Campaign Finance Unit at 1-800-458-3453 or (518) 474-8200.

Finally, Formal Opinions addressing Campaign Financial Disclosure processes and other Election Law issues may be obtained by visiting the Board's web site, at www.elections.state.ny.us.

TABLE OF CONTENTS

FREQUENTLY USED TERMS

The information contained in this section is a summary of provisions of Article 14 of the New York State Election Law and Part 6200 of the New York State Board of Election's Rules and Regulations, and is general in nature. For the specific provisions of the items contained in this section, consult the above-referenced sources.

24-Hour Notice - a required disclosure of any contribution or loan over $1,000, received the day after the Cut-Off Date of the 11-Day Pre-Election Report up to Election Day.

- These Notices apply to all Primary, General and Special Elections and must be filed by any Filer for a specific election in which they are required to file Election Reports.
- These Notices must be received by the appropriate Board(s) of Elections within 24 hours of receipt of the contribution or loan in question.
- These Notices are required because without them, there would be no public disclosure of large loans or contributions received during the period leading up to Election Day, which would otherwise only be first disclosed on the Post-Election Report.
- For Filers with NYSBOE, these Notices can be filed electronically at www.elections.state.ny.us or in person or by fax (518-486-6627). For Local Filers, these Notices can be filed in person or by fax. Consult Local Boards of Elections for further details.

Allocating Expenses - Party Committees, Constituted Committees and Authorized Multi-Candidate Committees are required to allocate campaign expenses among the Candidates they support. These amounts must be aggregated for the Campaign/Election Cycle. Electronic Filers need to create and complete Schedule R. Paper Filers will allocate expenses on the Status Report page, Section 9i.

Aggregate - multiple figures combined into one total amount.

Example 1: If a Contributor gives a Candidate for Assembly a $2,000 contribution in 2007 and another contribution of $1,800 in 2008, the aggregate contribution of that Contributor is $3,800.

Example 2: For a particular election, if a Contributor first gives a Candidate a contribution of $50, and additional contributions of $50, $100 and $25, the aggregate contribution of that Contributor is $225.

Amended Report - a Disclosure Statement (CF-01) that replaces a previously submitted Disclosure Statement (CF-01) for the purpose of making corrections or changes. For electronic filers with NYSBOE, a complete report must be submitted when making an amendment, because, presently, Amended Reports overwrite the previously submitted report in question. As such, simply filing only those transactions relative to the corrections or changes will result in an incomplete filing.

Anonymous Contributions - may not be accepted and must be turned over to the NYS Comptroller's Office.

Attribution of Campaign Advertisements - NYS Election Law does not require the sponsor or payor's name to be on any political advertisements ("Paid for By"). If the ad refers to a Federal Candidate, the Federal Election Commission (FEC) may impose such a requirement. Additionally, Federal Communication Commission (FCC) regulations, and radio/TV stations, and print media themselves, may impose an attribution requirement.

Auctions - items received for an auction must be reported as In-Kind Contributions from the donor at fair market value. The entire amount received from the highest bidder for an item is then reported as a contribution from the bidder on the appropriate Contribution Schedule (A, B or C).

Campaign Cycle - generally speaking, the period after an election for a particular office, up to the next election for that office.

Example: The Gubernatorial election is held every four years. Therefore, the Campaign Cycle for the Office of Governor is four years, and begins the day after the last election for that office, up to the next Election Day for that Office.

Campaign Materials - advertisements, pamphlets, circulars, flyers, brochures, solicitations, letterheads and other printed matter, purchased or produced, as well as schedules of all radio or television time, and scripts used therein, purchased in connection with a specific election.

- Any Filer required to file Primary, General and/or Special Election Reports must, at the same time the applicable Post-Election Report is due, submit copies of all of the Filer's Campaign Materials, purchased or produced by or under the authority of the person filing the Post-Election Report, or the Committee or the person on whose behalf it is filed.

- Copies can include duplicate originals (e.g., posters, flyers, buttons, etc.) or photocopies.

- These items must be hard copies, not electronic/digital files.

- For practical purposes large, unwieldy items, (e.g., billboards, sandwich boards, etc.), which cannot be readily reproduced in a paper copy, may be photographed.

- All copies must be legible.

Candidate - generally speaking, any individual who seeks to be nominated or elected to public office or party position, whether they ultimately appear on the ballot or not. An individual shall be deemed to be a Candidate if:

1) he or she has taken action to qualify for nomination or election; or

2) monies were raised or expended by the individual or any person to whom that individual has given consent to do so, in order to bring about such nomination or election to such office or position. The candidacy occurs when the contributions or expenditures in question are made, whether in the year in which the nomination or election is sought or in any future year.

Committee (Political Committee) - any corporation aiding or promoting, and any committee, political club or combination of one or more persons operating or cooperating to:

- aid or promote the success or defeat of a political party or principle or of any ballot proposal; or
- aid or take part in the election or defeat of a Candidate for Public Office; or
- aid or take part in the election or defeat of a Candidate for nomination at a Primary Election or convention, including all proceedings prior to such Primary Election; or
- aid or take part in the election or defeat of a Candidate for any Party position voted for at a Primary Election; or
- to aid or defeat the nomination by petition of an independent Candidate for Public Office.

Political Committees related to Political Parties:

- Constituted Committee - a State Committee or a County Committee, or a duly constituted subcommittee of a County Committee of a Party as defined by the NYS Election Law. A Party is a political organization that ran a Candidate in the last gubernatorial election who garnered at least 50,000 votes. There are presently five (5) Parties in New York State as so defined:

  * Democratic
  * Republican
  * Independence
  * Conservative
  * Working Families

NOTE: While there are other political organizations that refer to themselves as "Parties" (e.g., The Green Party), under NYS Election Law they are not Parties as defined above. They are defined as "independent bodies" under the Election Law and are deemed Multi-Candidate Committees under the provisions of Article 14 of the Election Law for campaign finance purposes. The Green Party was formerly a "Party" under NYS Election Law, but is no longer designated as such due to the ballot results of the last gubernatorial election.

- Duly Constituted Subcommittee of a County Committee:

  Outside the City of New York: a City, Town or Village Committee, which consists of all County Committee members from that City, Town or Village, as the case may be, and only such members.

  Within the City of New York: an Assembly District Committee, which consists of all County Committee members from that Assembly District, and only such members.

- Party Committee **-** any Committee provided for (defined) in the rules of a Constituted Committee (State or County). Examples are:

  - Democratic Assembly Campaign Committee (DACC)
  - Senate Republican Campaign Committee (SRCC)

- Housekeeping Committee **-** an optional "Committee" that is only allowed to be registered by a Party or Constituted Committee for the sole purpose of reporting "Housekeeping Receipts and Expenditures" made and received pursuant to Election Law §14-124 (3), to maintain a permanent Party Headquarters and staff and carry on ordinary activities that are NOT for the express purpose of promoting the candidacy of specific Candidates.

Other Types of Political Committees:

- Multi-Candidate Committee **-** a Committee that supports or opposes more than one Candidate.

- Political Action Committee (PAC) **-** although not specifically defined in the NYS Election Law, a PAC is considered to be any Political Committee that supports Candidates or other Political Committees by making contributions only (PACs do not make direct expenditures on behalf of Candidates).

- Unauthorized Committees (Single or Multi-Candidate) **-** Committees that are NOT specifically authorized by one Candidate or a group of Candidates to raise and/or spend money on their behalf for their election.

<u>Contribution</u> –

1. Any gift, subscription, outstanding loan (to the extent provided for in NYS Election Law §14-114), advance or deposit of money, or anything of value (in-kind contribution), made in connection with the nomination for election (e.g., Primary), or election (e.g., General), of any Candidate, or made to promote the success or defeat of a political party or principle, or of any ballot proposal/proposition.

2. Any funds received by a Political Committee from another Political Committee to the extent such funds do not constitute a Transfer (see definition of "Transfer" herein).

3. Any payment by any person, other than a Candidate or a Political Committee authorized by the Candidate, made in connection with the nomination for election (e.g., Primary), or election (e.g. General), of that Candidate, or any payment made to promote the success or defeat of the political party or principle, or of any ballot proposal. This includes, but is not limited to, the compensation for personal services of an individual which are rendered without charge in support of the Candidate's nomination or election.

NOTE: None of the foregoing is a contribution if it is made, taken or performed by:

- *a Candidate or that Candidate's spouse; or*
- *an individual independent of the Candidate and the Candidate's agents or authorized Political Committee; or*
- *a Political Committee independent of the Candidate and the Candidate's agents or authorized Political Committee.*

"Independent" means that the Candidate, his/her agent or authorized Political Committee, did not authorize, suggest, foster or cooperate in any such activity.

NOTE: The following are not "Contributions":

- *Volunteer Services - the value of services provided without compensation by individuals who volunteer a portion or all of their time on behalf of a Candidate or Political Committee.*
- *"House Parties"/Personal Property - the use of real or personal property and the cost of invitations, food and beverages voluntarily provided by an individual to a Candidate or Political Committee on the <u>individual's residential premises</u> for Candidate-related activities, to the extent such services do not exceed $500 in value.*
- Volunteer Travel Expenses - the aggregate travel expenses of an individual who on his or her own behalf volunteers personal services to any Candidate or Political Committee, to the extent such expenses are unreimbursed and do not exceed $500 in value.

Contributor - an individual, corporation, political committee, unincorporated union or trade organization, PAC, or any other entity such as a league, association or club who makes a contribution (see definition).

Depository - financial institution (e.g., bank), physically located in New York State, where a Campaign Account is established and maintained.

Direct Expenditures - generally speaking, the expenditures made in support or opposition of a Candidate, Political Committee or Ballot Proposition.

Disclosure Statement - a report of the financial transactions relating to a Candidate or Committee covering a specific period of time. Consult the applicable "Campaign Finance Filing Calendar" for dates.

> *NOTE: Once registered, a Disclosure Statement must be filed even when there are no financial transactions to report. Consult this Handbook for an explanation on how to proceed.*

Election Cycle - see "Campaign Cycle" above.

Filer - Candidate or Committee submitting Disclosure Reports.

Filer ID # - an identification number assigned by a Board of Elections, upon a Filer's registration with that Board, to be used in conjunction with each subsequent filing made to that Board.

> *NOTE: Filers may have more than one (1) unique Filer ID #, dependent upon how many Boards of Elections they are registered and filing with.*

Filing Calendar - a schedule of dates that specific reports (e.g., July Periodic Report - July 15, 2008) are due.

Fundraisers - an event or a solicitation to raise funds for a Candidate or Political Committee.

> *NOTE: The amount paid for a ticket to a campaign event is the amount that is reported as a contribution received. Expenses are not subtracted from the ticket price in determining the amount of the contribution. If you purchase a ticket to a campaign event, the cost is reported as a political contribution to the sponsoring committee on Schedule F. If the payment is from a Candidate Committee to a Constituted or Party Committee, or vice-versa, it is a transfer rather than a contribution. (Also see Auction and Raffles.)*

Housekeeping Expenditure - see "Committee - Housekeeping"

Inactive Status - for a limited group of Committees (PACs and Party or Constituted Committees), which would otherwise be obligated to file Election Reports, a Notice of Inactive Status (CF-20) serves to notify NYSBOE that the Committee will not be supporting or opposing, in any way, any Candidates in a particular Primary and/or General Election, and that NYSBOE should not expect to receive reports it would otherwise receive. If the CF-20 is not filed, three (3) Election Reports for the Primary Election and/or three (3) for General Election must be submitted. Periodic Reports must <u>always</u> be filed regardless of whether or not a CF-20 has been filed.

> *NOTE: Candidates who are obligated to file Election Reports and who also submit their own filings, and/or their Authorized Committees, are <u>not</u> qualified to file a Notice of Inactive Status (CF-20) to substitute for Election Reports. Election Reports for three (3) Primary Election and/or three (3) for General Election must be submitted.*

> *NOTE: If, after filing a CF-20, the Committee opts to become active for the particular election, through contributions or expenditures, it must begin filing Disclosure Reports with the next Election Report which covers the date when the activity begins.*

Investments - An investment occurs when cash is taken from a Candidate or Committee's checking account (depository) and is placed in a potential income-producing instrument. The investment is not shown as a disbursement of funds, nor is the return of principal shown as income. Interest or income earned is reported as "Other Receipts." Losses on investments will be shown as a "Campaign Expense," citing the check number of the original investment. When making the investment, details of the investment must be disclosed as an attachment filed in conjunction with the Disclosure Report covering the period in which the investment was made. Email filers must provide the details in hard copy in person or by fax or by mail under separate cover.

Itemized/Unitemized:

- <u>Itemized Contributions</u> - Whenever any Contributor makes a contribution to a Candidate or Political Committee that exceeds $99.00 by itself, or the Contributor makes a contribution which causes the aggregate of their contributions to exceed $99.00, for the Campaign/Election Cycle for Candidates and their Committees, or for the calendar year for Constituted and Party Committees and PACs, then the Candidate or Political Committee that is disclosing the contributions must itemize those contributions by reporting the following:

  * Complete Name & Address, Date, Check Number (if applicable) and Amount of the Contribution

  The Itemized Contribution must be detailed on one (1) of the Contribution Schedules (Schedules A, B, C, D) of the Disclosure Report which discloses the Contribution. Refer to the applicable Schedules in this *Handbook* for detailed instructions on Itemization.

Example 1: A Contributor makes a single $100.00 contribution—this must be Itemized. Any subsequent contribution made during the same Election Cycle or Calendar Year, as the case may be, must be Itemized.

Example 2: A Contributor makes an initial contribution of $50.00 to a Party Committee in one Reporting Period (see Unitemized Contributions below). Then the same Contributor makes an additional contribution of $75.00, to the same Party Committee, during the same Calendar Year, in a later Reporting Period. This $75 contribution would cause the aggregate contribution of the Contributor to that Committee to exceed $99.00 in the same Calendar Year. In such a case, this $75.00 contribution would have to be Itemized.

Example 3: A Candidate or a Candidate's Authorized Committee receives an initial $60.00 contribution from a Contributor in one Reporting Period, and then receives an additional $50.00 contribution from the same Contributor during a different Reporting Period, in the **same** Election Cycle. This $50 contribution would cause the aggregate contribution of the Contributor to that Candidate or Committee to exceed $99.00 in the same Election Cycle. In such a case, this $50.00 contribution would have to be Itemized.

NOTE: For Examples 2 and 3, the information that must be disclosed on the Disclosure Report which covers the second contribution made is different when submitting ***paper*** *Disclosure Reports (CF-01) than when submitting* ***electronic*** *Disclosure Reports with NYSBOE. For these examples, for disclosing the second contribution on paper reports, the initial contribution is reported under the "Previous Amount" column. For disclosing the second contribution via electronic reports, the initial contribution does not have to be reported because it was either previously reported as "Unitemized", or it was reported as an Itemized Contribution at the discretion of the Filer.*

- <u>Unitemized Contributions</u> - A single contribution that does not exceed $99.00; and a single contribution which, when added to the Contributor's previous contributions to the recipient Candidate or Committee for the Election Cycle or Calendar Year (as is applicable to that Recipient Type), does not raise the aggregate amount of contributions of the Contributor to the Recipient to more than $99.00.

Whenever any Contributor makes a contribution to a Candidate or Political Committee, and the contribution or the aggregate contributions of the Contributor to the Recipient do not yet exceed $99.00, for the Calendar Year or Election Cycle, as the case may be, then the contribution does not have to be itemized on the Disclosure Report covering the date in which the contribution was made. The contribution can instead be reported as an "Unitemized Contribution." The Filer, however, may choose to itemize contributions that qualify to be reported as "Unitemized Contributions."

- Itemized Expenditures - single expenditures that are **more** than $49.99. Whenever any single expenditure exceeds $49.99, the Filer must provide the following information on Schedule F (Expenditures/Payments); or, if applicable, on Schedule Q (Non-Campaign Housekeeping Expenses):

  * Date, Check Number (if applicable), Name and Address of the Payee, the Amount, and Purpose of the Expenditure

- Unitemized Expenditures - single expenditures that are **less** than $50.00. For single expenditures that are less than $50.00, the Filer can simply include the Amount in the "Total Unitemized Expenditures" box on Schedule F, or on Schedule Q if applicable. However, the Filer may choose to Itemize expenditures which otherwise qualify to be reported as Unitemized Expenditures. For credit card payments, or for reimbursements to individuals for Campaign-related expenses, the Filer must disclose the detail for each expenditure over $49.99 that is part of the reimbursement or credit card payment. Refer to the applicable Schedules in this *Handbook* for detailed instructions.

*NOTE: Reporting the "Total Unitemized Expenditures" on a **paper** Disclosure Report (CF-01) is different than when submitting **electronic** Disclosure Reports with NYSBOE. On paper reports, the amount of "Total Unitemized Expenditures" for the applicable Reporting Period is entered in the "Total Unitemized Expenditures" box on Schedule F, or on Schedule Q if applicable. For **electronic** Disclosure Reports submitted to NYSBOE, there is no "Total Unitemized Expenditures" box on Schedules F or Q. In this case, a Filer must make a single entry on the applicable Schedule, listing the Payee name as "Total Unitemized Expenditures," listing the total amount of "Total Unitemized Expenditures" in the "Amount Paid" field, and choosing "Other" as the Expenditure Code.*

Independent - the Candidate, or his/her agent or Authorized Political Committee, did not authorize, suggest, foster or cooperate in any such activity.

In-Lieu-Of Statement - a type of report that can only be filed by Candidates filing their own Disclosure Reports, or by Authorized Committees only supporting one (1) Candidate, or by Committees solely supporting or opposing Ballot Propositions, where at the close of the Reporting Period in question, neither the Total Receipts nor the Total Expenditures of the Campaign have exceeded $1000.

Limits - there are limits on contributions that can be made and limits on contributions that can be received. See "Contribution & Receipt Limitations" in this *Handbook.*

Loans Made - as with an investment, Campaign Funds loaned to another entity are still an asset of the Filer. The initial disbursement, or return, of the principal amount is not shown. Interest Income is reported under "Other Receipts." If the Lendee defaults on all or any part of the loan, or if any part of the loan is forgiven, that amount will be shown on Schedule F as a Political Contribution or Other Expense, as the case may be. The details of the loan made must be provided in an attachment, filed in conjunction with the Disclosure Report covering the Report Period in which the loan was made. Email Filers with NYSBOE must provide details under separate cover by fax, mail, or in person.

Loans Received - see Schedule I.

Off Cycle - a report which does not correspond to any specific filing period. It should be used when filing a Resignation or Termination Report outside of a regularly scheduled Reporting Period.

Official Party - any Political Organization, which at the last preceding Election for Governor, polled at least 50,000 votes for its Candidate for Governor.

Outstanding Liabilities - goods or services which have been received, but which have not yet been paid for. Goods and services received along with an invoice, to the extent to which they are not paid in that Reporting Period, are reported on Schedule N. For goods or services received without an invoice, an estimated amount must be reported on Schedule N. The outstanding amounts, full or partial, continue to be reported on Schedule N until either paid or forgiven.

Party Funds - Election Law Section 2-126 which prohibits the use of party funds in support of a Candidate in a Primary Election, was found unconstitutional by State and Federal Courts. It is therefore invalid. As such, Party Funds may be used in a Primary Election.

Penalties - see "Non-Compliance and Penalties" section in this *Handbook.*

Periodic Reports - Disclosure Reports filed every six (6) months on January 15 and July 15 of each year.

PIN - Personal Identification Number. This number is assigned by NYSBOE and acts as a Filer's electronic signature. PINs are used in conjunction with each report submitted electronically.

Political Club - depending upon the nature of its activities, a Political Club may or may not be a Political Committee. See "Committee" herein.

Raffles - funds are not allowed to be raised by raffles, 50/50s or any other type of gambling. For further information, contact the NYS Racing and Wagering Board (518-453-8460) or the Attorney General (518-474-7330).

Registration - see "Who Must File and What Must Be Filed" in this *Handbook.*

Report - a Financial Disclosure of all monies raised and spent during a specific period of time (Reporting Period).

Schedules - Campaign Financial Disclosure Statement (CF-01) consist of 17 Schedules. Each Schedule has a specific reporting purpose; only applicable Schedules need to be used with each Report. For explanations of each, please refer to "Disclosure Forms" section of this *Handbook*.

Solicitations - Section 6113 of the Internal Revenue Code requires certain solicitations for political purposes to contain an express statement that political contributions are not tax deductible as charitable contributions. Consult the IRS for further details.

Status Report - see "Sample Forms & Schedules" in this *Handbook*.

Transfer - the exchange of funds or anything of value between:

- a Party or Constituted Committee and a Candidate or any of his/her Authorized Committees or vice versa (e.g., Type 1 Transfer - NYS Republican State Committee to Friend of Smith, or vice versa); OR

- two (2) Committees solely supporting the same Candidate (e.g., Type 2 Transfer - Friends of Vincent Smith to Citizens for Vincent Smith or vice versa). Transfers are not contributions and are not subject to Contribution Limits.

Termination - ends the Filer's obligation to submit Campaign Finance Disclosure Reports. See "Termination" section of this *Handbook.*

Treasurer Resignation - process by which a Treasurer ends his/her obligation to submit Campaign Finance Disclosure Reports. See "Duties of Treasurers & Treasurer Resignation" section of this *Handbook.*

WHO MUST FILE & WHAT MUST BE FILED?

ALL Candidates and Political Committees are required to disclose, at specific times, ALL of the financial activity made in connection with their Campaign or in support or opposition of Candidates, Committees or Ballot Proposals/Propositions. See the “When Are Reports Filed?” section of this *Handbook* for the specific times reports are required to be disclosed.

Additionally, please refer to the “Frequently Used Terms” section of this *Handbook* for details on the major terms appearing below.

Candidates

Disclosure Statements/Reports

It is the obligation of the Candidate to disclose the receipts and expenditures of their Campaign. They can do so in one (1) of three (3) ways:

1. A Candidate can choose to file their own reports, which must disclose ALL the receipts and expenditures of their Campaign; or

2. A Candidate can choose to have an Authorized Committee which files the Disclosure Reports disclosing ALL receipts and expenditures of the Campaign. In such an instance, the Candidate can raise or spend money themselves, but such activity of the Candidate (who becomes an agent of the Committee) must be reported through their Authorized Committee. Additionally, the Candidate must submit a Candidate Committee Authorization and Non-Expenditure Statement (CF-16), which is the form that informs the Board of Elections that the Candidate has opted to have ALL receipts and expenditures of the Campaign, including those of the Candidate, disclosed by their Authorized Committee. In such an instance, the Candidate would not have to submit their own Disclosure Reports. The CF-16 must be submitted by the Candidate no later than 32 days prior to the first election for which the Candidate would otherwise be obligated to file reports; or

   NOTE: The Committee must register with the appropriate Board(s) of Elections by filing the Committee Designation of Treasurer and Depository (CF-02) and the Committee Statement of Authorization or Non-Authorization by Candidates (CF-03). If the named Treasurer on the CF-16 does not file, or cause to be filed, the CF-02 and CF-03, which indicate that the Treasurer has accepted the responsibility for filing the Disclosure Reports, then the responsibility to submit Disclosure Reports remains with the Candidate.

3. A Candidate can choose to have an Authorized Committee and can ALSO raise and spend money separate from the Committee, which they choose not to have disclosed by the Authorized Committee. In such a case, BOTH the Candidate and the Authorized Committee would each file their own separate Disclosure Reports. A Candidate would not have to file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16) if this is the case.

ADDITIONAL INSTRUCTIONS FOR CANDIDATES

1. Candidates are obligated to disclose Campaign-related receipts and expenditures, regardless of whether they are successful in having their name appear on the Ballot. A Candidate who raises or spends money in an attempt to have their name appear on the Ballot, but whose name does NOT appear on the Ballot, MUST disclose all receipts and expenditures in connection with that attempt on the next Periodic Report. The Candidate must then continue to file Disclosure Reports until they complete the Termination procedure as outlined in this Handbook.

2. The Campaign Finance Disclosure obligation also applies to Candidates who self-fund/-finance their Campaign, whether the Candidate does so through an Authorized Committee or themselves, or a combination of both.

Financial Disclosure Reports Filed By Candidates

Candidates who are required to file a Disclosure Report, must submit one (1) of the following:

<u>Itemized Report (CF-01)</u>

A report disclosing the financial activity for a specific Reporting Period, detailed on applicable Schedule(s), and where at the close of the Reporting Period, the aggregate of receipts or expenditures of the Campaign have exceeded $1,000. In the case of no financial activity during the Reporting Period, see "No Activity Report" below.

<u>In-Lieu-Of Statement (CF-01)</u>

A report where, at the close of the Reporting Period, neither the total receipts nor the total expenditures of the campaign have exceeded $1,000 in the aggregate.

NOTE: Once a Candidate who has filed an In-Lieu-Of Statement exceeds the $1000 threshold in aggregate receipts or expenditures for a Campaign, they must begin to file Itemized Reports (CF-01) commencing with the Reporting Period wherein the threshold is crossed. Furthermore, the initial Itemized Report filed must contain an itemization of all receipts and expenditures previously encompassed by the In-Lieu-Of Statement(s) filed by that Candidate. Once a Candidate files an Itemized Report, that Candidate can NEVER file an "In-Lieu-Of Statement" for any future report.

<u>No Activity Statement (CF-18)</u>

A report filed indicating that there is no activity to report for that specific Reporting Period.

- **For Filers with NYSBOE,** a CF-18 can be submitted in hard copy with an original signature, or online using a Filer ID and PIN at <u>www.elections.state.ny.us.</u>

- **Filers with a County or City Board of Elections** filing on paper, who do not have activity to report for a Reporting Period, should file fully completed Cover, Summary and Status pages of the Disclosure Statement (CF-01).

IMPORTANT NOTICE FOR <u>LOCAL CANDIDATES</u>
MAKING THEIR OWN FILINGS WITH NYSBOE:

Local Candidates who make their own filings and who raise or spend, or expect to raise or spend over $1,000, must file Disclosure Reports with NYSBOE in addition to filing with their Local Board of Elections. These Candidates must contact NYSBOE to obtain their Filer ID # and PIN, which are needed to file with NYSBOE.

<u>Committees</u>

It is the obligation of a Committee to register with the appropriate Board(s) of Elections and disclose its receipts and expenditures.

Registration

A Committee registers by filing:

<u>Committee Designation of Treasurer and Depository (CF-02)</u>

This form is used to register all Committees.

NOTE: The CF-02 is not required to be filed by a Constituted Committee (see "Frequently Used Terms" for definition). However, NYSBOE requests that all Constituted Committees required to file with NYSBOE submit a completed CF-02 for administrative purposes. Local Filers should consult with the appropriate County or City Board(s) of Elections for their requirements and procedures.

The Committee may also have to file:

<u>Committee Statement of Authorization or Non-Authorization by Candidates (CF-03)</u>

This form is used to indicate whether or not the Committee has been authorized by the specific Candidate(s) listed therein, to aid or take part in their nomination or election. A CF-03 must be filed by all Political Committees, except PACs, that support or oppose the nomination or election of any Candidate through direct expenditure. Authorization can only be granted by a Candidate, and must be specifically granted by the Candidate to the Committee. The mere fact that the Candidate knows that the Committee is conducting Campaign activity on the Candidate's behalf, does not constitute authorization.

NOTE: A CF-03 is not required to be filed by a Committee that only makes contributions (e.g., PACs).

Financial Disclosure Reports Filed By Committees

Committees are required to file either an Itemized Report, an In-Lieu-Of Statement (if qualified), or a No-Activity Statement, as described below, for each Filing Period:

<u>Itemized Report (CF-01)</u>

A report disclosing the financial activity for a specific Reporting Period, detailed on applicable Schedule(s), and where at the close of the Reporting Period, the aggregate of receipts or expenditures of the Campaign have exceeded $1,000. In the case of no financial activity during the Reporting Period, see "No Activity Report" below.

<u>In-Lieu-Of Statement (CF-01)</u>

A report where, at the close of the Reporting Period, neither the total receipts nor the total expenditures have exceeded $1,000 in the aggregate for the Campaign.

NOTE 1: "In-Lieu-Of Statements" can only be filed by Authorized Committees solely supporting one (1) Candidate, or by a Committee solely supporting or opposing a ballot proposal/proposition. ***Constituted Committees, Party Committees, Multi-Candidate Committees, and PACs are expressly prohibited from filing "In-Lieu-Of Statements."***

NOTE 2: Once a Committee which is entitled to file an "In-Lieu-Of Statement" exceeds the $1,000 threshold in aggregate receipts or expenditures for a Campaign, it must begin to file Itemized Reports (CF-01) commencing with the Reporting Period wherein the threshold is crossed. Furthermore, the initial Itemized Report filed must contain an itemization of all receipts and expenditures previously encompassed by the In-Lieu-Of Statement(s) filed by the Committee. Once a Committee files an Itemized Report, it can NEVER file an "In-Lieu-Of Statement" for any future report.

No Activity Statement (CF-18)

A report filed indicating that there is no activity to report for that specific Reporting Period.

- **For Filers with NYSBOE,** a CF-18 can be submitted in hard copy with an original signature, or online using a Filer ID and PIN at www.elections.state.ny.us.

- **Filers with a County or City Board of Elections** filing on paper, who do not have activity to report for a Reporting Period, should file fully completed Cover, Summary and Status pages of the Disclosure Statement (CF-01).

IMPORTANT NOTICE FOR LOCAL COMMITTEES REQUIRED TO FILE REPORTS WITH NYSBOE:

Local Committees who raise or spend, or expect to raise or spend over $1,000 in any Calendar Year, must file Disclosure Reports with NYSBOE, in addition to filing with their Local Board of Elections. Filer ID#s and PINs are needed to file with NYSBOE. In order to receive Filer ID#s and PINs, Committees must first register with NYSBOE.

Special Instructions for Political Action Committees (PACs)

Committee Designation of Treasurer and Depository (CF-02)

When registering with a Board of Elections by submitting the "Committee Designation of Treasurer and Depository" (CF-02), a PAC does not have to provide any information in Section E. "Candidates(s) to be Supported or Opposed." The Election Law specifically exempts PACs from having to provide the information in this section as an administrative convenience to both the PAC and the Boards of Elections where PACs submit their filings. Because PACs only make contributions to Candidates and Political Committees, if the PAC was required to provide this information, it would have to constantly amend its CF-02 whenever contributions were made by the PAC to additional Candidates/Committees.

Committee Statement of Authorization or Non-Authorization by Candidates (CF-03)

PACs do not file the "Committee Statement of Authorization or Non-Authorization by Candidates" (CF-03). A CF-03 is only required to be filed by Political Committees which make Direct Expenditures, other than by contributions, in support or opposition to Candidates and other Political Committees. Other than contributions, PACs do not make Direct Expenditures. If a PAC were to make a Direct Expenditure, other than a contribution, it would no longer be a PAC, but would be a Single- or Multi-Candidate Committee, authorized or unauthorized, as the case may be. The resulting change in designation of Committee type can have significant consequences on the PAC and on the Candidates and/or their Political Committees which were the beneficiaries of the Direct Expenditures in question.

Notice of Inactive Status (CF-20)

A Notice of Inactive Status is an administrative creation of NYSBOE to be used by a limited group of Committees (specifically PACs, Party, and Constituted Committees) for the purpose of notifying the Board that the Committee will not be supporting or opposing any Candidates in a particular election.

NYSBOE presumes that this limited group of Committees are supporting or opposing Candidates for election by making contributions or direct expenditures, and, therefore, expects to receive the three (3) Election Reports for a particular election. However, this limited group of Committees may submit a Notice of Inactive Status (CF-20) which notifies the Board that the Committee will not be actively supporting or opposing Candidates in that particular election. This alerts the Board that it should not expect to receive Election Reports for that particular election.

NOTE: If, after filing a CF-20, the Committee opts to become active for the particular election, through contributions or expenditures, it must begin filing Disclosure Reports with the next Election Report which covers the date when the activity begins.

A CF-20 may be submitted on paper or via NYSBOE's website under Campaign Finance. If submitting a CF-20 on paper, it must contain an original signature. If submitting a CF-20 via the web, a Filer ID# and PIN are required and serve as an electronic signature.

NOTE for Electronic Filers with NYSBOE: As the NYSBOE Electronic Filing Software (EFS) does not have a CF-20 filing option, the only way to submit a CF-20 electronically is via NYSBOE's website.

Note: Authorized and Unauthorized Committees of Candidates that are obligated to file Election Reports are not qualified to file a Notice of Inactive Status (CF-20) to substitute for Election Reports. Those Committees must file one (1) of the following reports for each specific filing period:

- *Itemized Report*
- *In-Lieu-Of Statement (if qualified)*
- *No-Activity Statement*

Candidates who are obligated to file Election Reports, either because they do not have an Authorized Political Committee disclosing all of the financial activity of their Campaign, or who have an Authorized Committee and choose to have financial activity for their Campaign which is not disclosed by the Authorized Committee, <u>are not qualified</u> to file a Notice of Inactive Status to substitute for Election Reports. Those Candidates must file one (1) of the following reports for each specific filing period:

- *Itemized Report*
- *In-Lieu-Of Statement (if qualified)*
- *No-Activity Statement*

Additional Required Documentation (when applicable)

Loans and Debts

When a Filer receives a loan, or has a loan or debt that is forgiven, the Filer must submit, in conjunction with the Disclosure Report covering the period when the transaction took place, copies of the documents evidencing such loans/debts received or forgiven.

Campaign Materials

Campaign Materials are advertisements, pamphlets, circulars, flyers, brochures, solicitations, letterheads and other printed matter, purchased or produced, as well as schedules of all radio or television time, and scripts used therein, purchased in connection with a specific election.

- Any Filer required to file Primary, General and/or Special Election Reports must, at the same time the applicable Post-Election Report is due, submit copies of all of the Filer's Campaign Materials, purchased or produced by or under the authority of the person filing the Post-Election Report, or the Committee or the person on whose behalf it is filed.

- Copies can include duplicate originals (e.g., posters, flyers, buttons, etc.) or photocopies.

- These items must be hard copies, not electronic/digital files.

- For practical purposes large, unwieldy items, (e.g., billboards, sandwich boards, etc.), which cannot be readily reproduced in a paper copy, may be photographed.

- All copies must be legible.

24-Hour Notices

A 24-Hour Notice is a required disclosure, within 24 hours of receipt, of any contribution or loan over $1,000, received the day after the Cut-Off Date of the 11-Day Pre-Election Report up to Election Day.

- These Notices apply to all Primary, General and Special Elections and must be filed by any Filer for a specific election in which they are required to file Election Reports.

- These Notices must be received by the appropriate Board(s) of Elections within 24 hours of receipt of the contribution or loan in question.

- These Notices are required because without them, there would be no public disclosure of large loans or contributions received during the period leading up to Election Day, which would otherwise only be first disclosed on the Post-Election Report.

- For Filers with NYSBOE, these Notices can be filed electronically at www.elections.state.ny.us or in person or by fax (518-486-6627). For Local Filers, these Notices can be filed in person or by fax. Consult Local Boards of Elections for further details.

- Any contribution/loan for which a 24-hour Notice has been submitted, must also be disclosed in the applicable Post-Election Report.

Verification Statement (CF-18)

In order for a NYSBOE Filer to request to Terminate, or to Resign as a Treasurer, NYSBOE requires that the Filer/Treasurer submit a Verification Statement (CF-18) in writing, with an original signature, in conjunction with the applicable Disclosure Report encompassing the transactions leading up to the date of Request for Termination or Resignation Notice. See "Termination of Filing Obligation" and/or "Duties of Treasurers/Treasurer Resignation" sections of this *Handbook* for more details.

WHEN ARE REPORTS FILED?

Periodic Reports

All Committees, and all Candidates, that are obligated to file Disclosure Reports, must submit, in addition to any required Election Reports, an additional Disclosure Report every six (6) months, on January and July 15th of each year. These additional reports, which are called "Periodic Reports," must be filed each year until such time as the Committee or Candidate terminates its filing obligation (see the "Termination of Filing Obligation" section of this *Handbook* for more details).

Election Reports

There are three (3) Election Reports filed in connection with each Primary, General or Special Election. They are as follows:

32-Day Pre-Election
11-Day Pre-Election
10-Day Post-Election for Primary Elections
- OR -
27-Day Post-Election for General or Special Elections

These Election Reports are filed, as their names imply, on the days so stated in their titles. Candidates and Committees should consult the appropriate Board(s) of Elections to obtain the Filing Calendar containing the specific filing dates for the election in question.

All Candidates and/or their Committees must file the three (3) Election Reports for all elections in which the Candidate's name appears on the ballot. This requirement is also applicable to Candidates and/or their Committees when the Candidate seeks a line in the General Election via an "Opportunity to Ballot Petition" which has been filed for a Primary Election.

PAC's and Party Committees that support Candidates or Ballot Proposals in any election must file the three (3) applicable Election Reports.

All reports cover a specific period. The period covered is always the day after the Cut-Off Date from the previous report to the Cut-Off Date for the current report. The Cut-Off Date is always four (4) days before the Filing Due Date (refer to Filing Calendar). The purpose of the Cut-Off Date is to allow Filers to assemble the appropriate data of their financial activity and prepare their Disclosure Reports.

A Disclosure Report, submitted by paper, diskette, CD or DVD, is deemed properly filed when sent by certified mail within the prescribed time. Disclosure Reports filed by email with NYSBOE must be submitted within the prescribed time. Disclosure Reports submitted by email to NYSBOE, which are received after 5:00 PM on a business day, or on Saturday or Sunday, or on a Holiday, will be date-stamped for the next business day. Please check the NYSBOE website to assure the Report was received.

Candidate's First Report

The first report a Candidate must file in conjunction with an election, if they do not have an Authorized Committee disclosing the financial activity for the Campaign, is the 32-Day Pre-Election Report for the first election in which that Candidate seeks a ballot line, or where the Candidate's name appears on the ballot. This also applies where a Candidate seeks a ballot line via an "Opportunity to Ballot." This is regardless of when their campaigning began.

NOTE: This is not applicable to Candidates, or their Authorized Committees, who have not Terminated their filing obligation after their last election. These Candidates or Authorized Committees would continue to file all Periodic Reports that fall before the 32-Day Pre-Election Report for the next election in which that Candidate seeks office.

Candidates obligated to submit their own Disclosure Reports, must file the applicable three (3) Election Reports. If the Post-Election Report shows assets or liabilities remaining, the Candidate must continue to file Periodic Reports until there are no assets or liabilities, at which point Termination may be requested.

Committee's First Report

The first Disclosure Report that a Committee must submit, after it registers by filing a "Committee Designation of Treasurer and Depository" (CF-02), is either: a) the next Periodic Report; or b) the 32-Day Pre-Election Report for the applicable election; whichever comes first.

Housekeeping Committee Reports

A Constituted or Party Committee that has set up an optional separate Housekeeping Committee, must only file Periodic Disclosure Reports twice each year, on January 15 and July 15. A Housekeeping Committee is only allowed to be registered by a Party or Constituted Committee for the sole purpose of reporting "Housekeeping Receipts and Expenditures" made and received pursuant to Election Law §14-124 (3). These are receipts and expenditures to maintain a permanent Party Headquarters and staff and carry on ordinary activities that are NOT for the express purpose of promoting the candidacy of specific Candidates.

WHERE ARE REPORTS FILED?

Where Financial Disclosure Reports are filed by a Candidate, or a Committee supporting or opposing the Candidate, is determined by the specific Office that the Candidate is seeking.

State Candidates

Candidates running for State Offices:

> **Governor, Lt. Governor, Comptroller, Attorney General,**
> **Senate and Assembly, State Supreme Court Justice**

. . . and certain Party Offices, and the Committees supporting or opposing those Candidates, including Party and Constituted Committees, MUST REGISTER and FILE with the New York State Board of Elections (NYSBOE). Such filings must be made electronically, unless a waiver allowing filing on paper has been applied for and granted in writing.

If supporting Local Candidates, State Filers will need to file hard copies of their Disclosure Reports at the applicable Local Board(s) of Elections.

Local Candidates

Local Candidates who are Candidates running for all other Public and Party Offices, and the Committees supporting or opposing those Candidates, including Party and Constituted Committees, MUST REGISTER (where applicable) and FILE with the appropriate County or City Board of Elections, unless exempt from filing under Election Law §14-124.

Additionally, Local Filers who raise or spend, or expect to raise or spend, more than $1,000 in any Calendar Year are also required to file Campaign Financial Disclosure Statements with NYSBOE, **IN ADDITION** to filing with their Local BOE. Such filings made with NYSBOE MUST be made electronically, unless a waiver has been applied for and granted in writing. The $1,000 raised or spent (including Candidate contributions/expenditures to their own Campaign) relates to financial activity (receipts or expenditures) in the calendar year, **not** an ending cash balance.

Any Filer, once registered with NYSBOE must continue to make all required filings until the Filer requests a Termination in writing (via CF-18 or CF-01, as applicable) to NYSBOE and it is granted by NYSBOE. Terminating with a County/City Board does not automatically terminate filing requirements with NYSBOE and vice versa. Termination must be requested and processed separately with each Board where a Filer is registered. Simply closing the Filer's bank account does not terminate the obligation to file Financial Disclosure Statements with the applicable Board(s) of Elections.

Village Elections

For Village Elections run by the Village Clerk, Candidates and Committees solely supporting or opposing Candidates for Village Office must register and file with the Village Clerk. For Village Elections run by a County Board of Elections, such registrations and filings must be made with the County Board of Elections.

NOTE: For Village Elections run by the Village Clerk, where Filers with the Village Clerk have Campaign Finance activity outside of the Village Election in question (e.g., supporting/opposing Candidates and/or Committees for Town, County or State Offices; transfers to Party or Constituted Committees outside of the Village), the Filers will then also have an obligation to register and file with the appropriate County and/or State Board of Elections.

For Village Elections run by a County Board of Elections, which would then require that the filings be made with that County BOE, where the receipts or expenditures exceed or are expected to exceed $1000, then such registrations and filings must also be made with NYSBOE electronically, unless a waiver allowing filing on paper has been applied for and granted in writing.

Ballot Propositions

Committees supporting or opposing Statewide ballot propositions must register and file with NYSBOE. Committees supporting or opposing Local Ballot Propositions must register and file with the appropriate Local Board of Elections. Any such Committee supporting or opposing a local ballot proposition that raises or spends, or expects to raise or spend, more than $1,000 in the Calendar Year, relative to said Local Ballot Proposition, must also register and submit Disclosure Reports with NYSBOE, in addition to filing with their Local Board.

EXCEPTIONS TO FILING REQUIREMENTS

The filing requirements do not apply to the following:

- ✔ Newspapers or other periodicals.

- ✔ Federal Candidates or Committees filing with the Federal Elections Commission. However, if contributions or expenditures to aid or take part in the election or defeat of a State or Local Candidate will exceed $1,000, then the Committee is required to register and submit Disclosure Reports, like any other New York Political Committee. Such Committee is required to have a depository (bank account) physically located in New York State, as is required of any other Committee registered in New York State.

- ✔ Candidates who do not receive or spend more than $50.00 (which also applies to their own personal funds), including Candidates for County Committee and for Delegate and Alternate to a Judicial Convention. However, NYSBOE must be informed in writing of an exemption.

- ✔ Any Candidate or Candidate's Authorized Committee, where the Candidate is in an uncontested primary. (Monies received or spent shall be disclosed in the first General Election Report filed.)

- ✔ Candidates and Authorized Committees solely supporting one (1) Candidate for Public Office, or solely supporting or opposing a Ballot Proposition, in Towns, Cities or Villages having a population under 10,000, where the Candidate/Committee does not raise or spend in excess of $1,000.

- ✔ A Committee formed solely to support or oppose a Ballot Issue, and that does not raise or spend over $100.

DUTIES OF TREASURERS & TREASURER RESIGNATION

Duties of Treasurers

- In order to register with the applicable Board(s) of Elections, the Treasurer must file, or cause to be filed, the "Committee Designation of Treasurer and Depository" (CF-02) prior to receiving or spending funds. The CF-02 is filed with the Board(s) of Elections where their Disclosure Reports must be filed. The CF-02 must be filed within five (5) days after the choice of a Treasurer and Depository has been made.

- The CF-02 is not required to be filed by a Constituted Committee (see "Frequently Used Terms" for definition). However, NYSBOE requests that all Constituted Committees required to file with NYSBOE submit a completed CF-02 for administrative purposes. Local Filers should consult with the appropriate County or City Board(s) of Elections for their requirements and procedures.

- Only the Treasurer, and the individuals so authorized by the CF-02 in section G, "Person(s) Other Than Treasurer Authorized to Sign Checks," may sign checks drawn on the Committee Depository (bank).

- The Treasurer must file, or cause to be filed, the "Committee Statement of Authorization or Non-Authorization by Candidates" (CF-03), if applicable, at the same time of the filing of the CF-02.

- A CF-03 must be filed by all Political Committees, except PACs, that support or oppose the nomination or election of any Candidate through direct expenditure. Authorization can only be granted by a Candidate, and must be specifically granted by the Candidate to the Committee. The mere fact that the Candidate knows that the Committee is conducting Campaign activity on the Candidate's behalf, does not constitute authorization. A CF-03 is not required to be filed by a Committee that only makes contributions (e.g., PACs).

- Time Requirement for Filing CF-02 & CF-03 Amendments - A Treasurer must file an Amended CF-02 and CF-03 as applicable within two (2) days of any changes to any information contained therein.

- The Treasurer is legally responsible for filing all Committee Reports. Treasurers filing with NYSBOE must file electronically, via diskette, CD, DVD or email, using NYSBOE's Electronic Filing Software (EFS). <u>When registering by filing the "Committee Designation of Treasurer and Depository" (CF-02) form, Treasurers will be assigned a Filer ID# as well as a PIN</u>. For filing purposes, the PIN is the electronic signature of the Treasurer. The PIN also ensures that the Disclosure Report has been filed by or authorized by the Designated Treasurer. As liability attaches to each filing, the Treasurer should ensure that their PIN is securely kept and used.

- Treasurers filing Treasurer Resignation or Termination Reports with NYSBOE, must also file a paper Verification Statement (CF-18) with an original signature, making sure to check the box(s) applicable to the request.

- Receipts/contributions, and disbursements, in excess of $100.00, may NOT be in cash. The $100 cash limit for contributions received is an aggregate limit as well.

- All expenditures over $10.00 must be vouchered for by a receipted bill stating the particulars of the expense.

- Officers, members or agents of a Political Committee, or agents of a Candidate, that receive any receipt, contribution, or transfer, or make any expenditure or incur any liability, must within three (3) days after demand of the Treasurer, and in any event within 14 days after any such financial activity, give to the Treasurer of such Committee, or to such Candidate if an agent authorized by him/her, a detailed account of the same, with all vouchers/receipts.

Records Retention

In accordance with Election Law §14-118, every Political Committee shall have a Treasurer and a Depository, and shall cause the Treasurer (Active and/or Resigned) to keep detailed accounts of all receipts, transfers, loans, liabilities, contributions and expenditures, made by the Committee, or any of its officers, members or agents, acting under its authority or on its behalf, for a period of five (5) years from the date of the filing of the Final Statement with respect to the election or convention to which they pertain.

These requirements regarding Records Retention also apply to Candidates.

No officer, member or agent of any Political Committee shall receive any receipt, transfer or contribution, or make any expenditure or incur any liability until the Committee shall have chosen a Treasurer and Depository and filed their names (initial registration or amendment thereto) as required with the appropriate Board(s) of Election.

Treasurer Resignation

A Treasurer wishing to resign must submit the following to the appropriate Board(s) of Elections: a Letter of Resignation, a Resignation Report, and a CF-18 or CF-01, as applicable (see below).

NYSBOE Filers

Electronic Filers
These Filers must submit a fully completed paper Verification Statement (CF-18) when submitting a Resignation Report when the Disclosure Report is either:

- an Itemized Report created using the Electronic Filing Software (EFS), whether filed as an attachment to an email, or filed by mail on diskette, CD or DVD; or

- a report filed online (i.e., In-Lieu-Of Statement or No Activity Statement) at NYSBOE's website.

This form must be completed in its entirety with the appropriate “Filing Period” and “Treasurer Resignation Report” boxes checked. The fully completed CF-18 must contain an original signature and be submitted by mail or in person to NYSBOE.

The Electronic Filing Software does not contain a designation (i.e., report type) for Resignation Reports. As such, a Disclosure Report submitted electronically which is intended to be a Resignation Report, cannot be processed as a Resignation Report without submitting the completed CF-18. NYSBOE would not otherwise know that the Filer intended the submitted report to be its “Resignation Report.”

Forms submitted by fax or by an electronic file attached to an email will be rejected.

Authorized Paper Filers (if exempt from filing electronically by NYSBOE)

Filers with NYSBOE authorized to file on paper do not need to submit a CF-18 in conjunction with a Resignation Report, as the Cover Page of the paper Disclosure Statement (CF-01) serves this purpose. This Cover Page must be completed in its entirety with the appropriate “Filing Period” and “Treasurer Resignation Report” boxes checked. The fully completed CF-01 must contain an original signature and be submitted by mail to NYSBOE.

Filers with County or City Boards of Elections

Filers with a Local Board of Elections who submit a paper CF-01 for Resignation purposes, must complete the Cover Page of the CF-01 in its entirety with the appropriate “Filing Period” and “Treasurer Resignation Report” boxes checked. The fully completed CF-01 must contain an original signature and be submitted by mail or in person to the applicable Board of Elections

All Filers

A Resignation Report must include all transactions from the Cut-Off Date of the last report filed, up to the date of Resignation, and may be filed in conjunction with:

- Election Reports (Primary/General/Special); or
- Periodic Reports (January/July); or
- An Off-Cycle Report

An Off-Cycle Report is defined as a report which does not correspond to any specific Filing Period. It should be used when filing a Resignation Report outside of a regularly scheduled reporting period.

A resignation will not be processed unless all requirements for resignation are met; this includes the filing of ALL delinquent reports.

Treasurers of an Authorized Committee must also provide a copy of the Letter of Resignation to the Candidate.

Treasurers of the following Committees must provide a copy of their Letter of Resignation to the appropriate management of their organization:

- PACs
- Constituted
- Party
- Multi-Candidate Authorized/Unauthorized

Upon the effective date of Resignation, or upon the death of the Treasurer, no member of the Committee may receive or spend funds until a New Treasurer is chosen, and an Amended "Designation of Treasurer and Depository" (CF-02) is submitted.

The New Treasurer must file an Amended CF-02 and CF-03 within two (2) days of any changes to any information contained therein.

Records Transfer Upon Treasurer Resignation

Upon Resignation, the Resigning Treasurer is expected to fully cooperate in the transition to the New Treasurer. The Resigning Treasurer should turn over all accounts, checkbooks and records to the New Treasurer, maintaining a copy for themselves.

NOTE: NYSBOE will place a bank freeze on the account until a New Treasurer is designated.

Ongoing Filing Obligation

Treasurers are required to continue to file all applicable Election Reports, as well as all Periodic Reports, with NYSBOE and/or Local Boards until Resignation requirements have been met. Resignations must be processed separately with each Board where the Filer is registered. Resignation with one (1) Board does not equal Resignation with another Board. Resignation with a Local Board of Elections does not constitute resignation with NYSBOE.

Additionally, simply submitting a Letter of Resignation does not fulfill all of the requirements necessary for a Treasurer Resignation. A Treasurer has a continuing obligation to file Campaign Financial Disclosure Statements with the applicable Board(s) of Elections until they successfully resign and process their resignation.

Resignations are subject to review and approval by the Board(s) of Elections for compliance with the applicable statutes, and are not deemed final until appropriate processing has taken place. If all requirements are not met, filers will receive a letter outlining remaining issues to be resolved to qualify for Resignation.

All previously required reports must have been submitted. Additionally, letters of forgiveness/ indebtedness, if not previously submitted, must also be provided.

TERMINATION
(How to Terminate Your Filing Obligation)

Termination ends a Filer's obligation to file Campaign Financial Disclosure reports with the appropriate Board(s) of Elections (Local and/or NYSBOE). To Terminate, a Filer must submit the following:

NYSBOE Filers

Electronic Filers

These Filers must submit a fully completed paper Verification Statement (CF-18) when submitting a Termination Report when the Disclosure Report is either:

- an Itemized Report created using the Electronic Filing Software (EFS), whether filed as an attachment to an email, or filed by mail on diskette, CD or DVD; or

- a report filed online (i.e., In-Lieu-Of Statement or No Activity Statement) at NYSBOE's website.

This form must be completed in its entirety with the appropriate "Filing Period" and "Termination Report" boxes checked. The fully completed CF-18 must contain an original signature and be submitted by mail or in person to NYSBOE.

The Electronic Filing Software does not contain a designation (i.e., report type) for Termination Reports. As such, a Disclosure Report submitted electronically which is intended to be a Termination Report, cannot be processed without submitting the completed CF-18. NYSBOE would not otherwise know that the Filer intended the submitted report to be its "Termination Report."

Forms submitted by fax or by an electronic file attached to an email will be rejected. Termination can only be granted by NYSBOE, and is not effective until so granted.

Authorized Paper Filers (if exempt from filing electronically by NYSBOE)

Filers with NYSBOE authorized to file on paper do not need to submit a CF-18 in conjunction with a Termination Report, as the Cover Page of the paper Disclosure Statement (CF-01) serves this purpose. This Cover Page must be completed in its entirety with the appropriate "Filing Period" and "Termination Report" boxes checked. The fully completed CF-01 must contain an original signature and be submitted by mail to NYSBOE.

Filers with County or City Boards of Elections

Filers with a Local Board of Elections who submit a paper CF-01 for Termination purposes, must complete the Cover Page of the CF-01 in its entirety with the appropriate “Filing Period” and “Termination Report” boxes checked. The fully completed CF-01 must contain an original signature and be submitted by mail or in person to the applicable Board of Elections.

A Termination Report must include all transactions from the Cut-Off Date of the last report filed, up to the date of requested Termination, and may be filed in conjunction with:

- Election Reports (Primary/General/Special); or
- Periodic Reports (January/July); or
- An Off-Cycle Report

An Off-Cycle Report is defined as a report which does not correspond to any specific Filing Period. It should be used when filing a Termination Report outside of a regularly scheduled reporting period.

Terminations will not be processed unless all requirements for termination are met–this includes the filing of ALL delinquent reports.

Termination Restrictions on Constituted Committees

Constituted Committees do not generally cease to exist except in extreme circumstances. As such, any Constituted Committee that desires a Termination should consult with NYSBOE for further details.

Records Retention

In accordance with Election Law §14-118, every Political Committee shall have a Treasurer and a Depository, and shall cause the Treasurer (Active and/or Resigned) to keep detailed accounts of all receipts, transfers, loans, liabilities, contributions and expenditures, made by the Committee, or any of its officers, members or agents, acting under its authority or on its behalf, for a period of five (5) years from the date of the filing of the Final Statement with respect to the election or convention to which they pertain.

These requirements regarding Records Retention also apply to Candidates as well.

As such, records must be maintained upon <u>approved</u> Termination for the required period of time outlined above.

Ongoing Filing Obligation

Filers are required to continue to file **all applicable** Election Reports, as well as **all** Periodic Reports, with NYSBOE and/or Local Boards until Termination has been requested in writing as outlined above (i.e., submitting CF-01/CF-18, as applicable) and approved. Termination must be requested and processed separately with each Board where the Filer is registered. Termination with one (1) Board does not equal Termination with another Board. Termination with a Local Board of Elections does not constitute termination with NYSBOE.

Additionally, simply closing a Filer's bank account does not terminate that Filer's obligation to continue to file Campaign Financial Disclosure Statements with the applicable Board(s) of Elections until they successfully terminate.

Termination requests are subject to review and approval by the Board(s) of Elections for compliance with the applicable statutes, and are not finalized until such approval is obtained. Filers will receive a letter outlining any remaining issues to be resolved to qualify for Termination, if applicable.

Criteria for Termination:

1. All previously required reports must have been submitted.
2. The account must have an ending cash balance of zero (0), which also must be reflected in the Filer's Final (Termination) Report.
3. All outstanding loans or liabilities must have been repaid or forgiven.

Note: Loans or liabilities that are forgiven are considered contributions for limit purposes, and are subject to Contribution Limits for the applicable Election or Calendar Year Cycle. Forgiveness can result in the receipt of an over-contribution, if the amount forgiven: 1) is, in and of itself, greater than the applicable Contribution Limit, or 2) when added to the previous contribution(s) of the Contributor who is forgiving the loan or liability, results in an aggregate amount which is greater than the applicable Contribution Limit.

Filers are strongly cautioned to consider the applicable Contribution Limit as applied to the amount to be forgiven, as well as cautioned to review the contribution history of the particular Contributor who will be forgiving a loan or liability.

Additionally, letters of forgiveness/indebtedness, if not previously submitted, must also be provided.

Candidates or Committees that are obligated to submit reports for a particular Election Cycle, (e.g. Primary, General and/or Special) cannot terminate mid-cycle. They must submit all required reports for that Election, and can only terminate, if qualified to do so, when submitting the applicable Post-Election report at its scheduled filing date (i.e., 10-Day Post-Primary, or 27-Day Post-General/Special).

NON-COMPLIANCE & PENALTIES

There are significant consequences, for both Treasurers and Candidates, which may include Penalties, for failure to comply with the requirements of the NYS Election Law relating to Campaign Finance Disclosure as outlined in this Handbook. This includes failure to file required Financial Disclosure Reports.

Financial Penalties

NYSBOE or a Local Board of Elections may institute a judicial proceeding (i.e., lawsuit) to obtain a financial penalty, plus costs and disbursements, for bringing the proceeding. The maximum financial penalty for each individual failure to file by a Treasurer or Candidate is $500.00.

Treasurers

Penalties for a Committee's failure to file are the personal responsibility of the Treasurer. Judgments are obtained and entered against the Treasurer, not the Committee, or the Candidate if the Treasurer is of a Candidate's Authorized Committee.

Candidates

When a Candidate has individual disclosure requirements, which may include the filing of a "Candidate Committee Authorization and Non-Expenditure Statement" (CF-16), the Candidate's failure to file is the personal responsibility of the Candidate, not of any Committee or Treasurer, if applicable. Such judgments for penalties would be obtained and entered against the Candidate.

This is regardless of whether or not the Candidate has an Authorized Committee with its own separate and distinct disclosure requirements, and regardless of whether or not the Authorized Committee has actually made its filing. In addition, the penalty is applicable to each filing period in which the Candidate has not yet filed their CF-16 or Disclosure Statement, as the case may be. Additionally, Candidates who do not have an Authorized Committee, and who fail to make their own required filings, will be subject to penalties for each filing that is not made.

Criminal Penalties

In addition to the financial penalties outlined above, there may be associated criminal penalties for failure to comply with the requirements of the NYS Election Law relating to Campaign Finance Disclosure. Any person who willfully and knowingly violates any provision of the Election Law pertaining to Campaign Financial Disclosure or Contribution Limits may be guilty of a misdemeanor and/or a felony, as the case may be.

CONTRIBUTION & RECEIPT LIMITATIONS

Limited Liability Company

A Limited Liability Company is treated as an individual for limitation purposes. Contributions received from LLCs are reported on Schedule C.

Sole Proprietors' Contributions

A Sole Proprietor's contributions are deemed as being from the owner and must be listed as such on Schedule A.

Partnership Contributions

Partnership Contributions are attributed to the individual partners who are making the contributions through the partnership, but the individual partners who are making the contribution are not specifically listed until the aggregate partnership contribution exceeds $2,500 to the specific recipient (i.e., Candidate or Committee).

Once the aggregate partnership contribution exceeds $2,500 (during the Calendar Year for a Constituted or Party Committee or PAC; or during the Election/Campaign Cycle for a Candidate or Authorized Committee), then the recipient must complete Schedule O, which for informational purposes provides the itemization of the individual partners' contributions making up the aggregate partnership contribution.

Each individual partner's contributions, whether taken from the partnership account or from the partner's personal account, will count towards that partner's individual calendar year limit of $150,000.

Checks Drawn on a Joint Account

Checks drawn on a Joint Account are assumed given by the signatory (the person who signed the check). However, if the contribution is to be attributed to multiple joint account holders, then all of the names, in addition to the signatory, and the specific amounts attributed to each contributor on the joint account, must be indicated in the "Memo" portion of the check and/or on an attached letter. See Schedule A #5 for reporting instructions.

Funds of a Candidate and the Spouse of the Candidate

Funds of a Candidate and the Spouse of the Candidate spent on the Campaign are NOT contributions and are NOT limited. They must be reported, however.

Individuals & Corporations - Aggregate Calendar Year Limits

The New York State Election Law places aggregate Calendar Year Contribution Limits on the amount of political contributions that can be made by **individuals** and **corporations** to New York State Candidates and Committees, as follows:

- An **individual** may contribute up to a total of **$150,000,** in the aggregate, in a Calendar Year.

- A **corporation** may contribute up to a total of **$5,000,** in the aggregate, in a Calendar Year.

Each affiliated or wholly-owned subsidiary corporation, if a separate legal entity, has its own limit.

No other type of contributor has an aggregate Calendar Year Limit on its contributions.

Notwithstanding the above, no individual, corporation, or other Contributor may give more to a Candidate or a Candidate's Authorized Political Committee(s) than an amount determined under the law for the office sought by the Candidate. This is called the **Election Limit.** This amount is the maximum that the Candidate may receive, in the aggregate, from any one (1) Contributor during the Campaign/Election Cycle for the particular election.

For some offices, the law requires a formula be used to determine the limit. In those cases, you should contact the Board of Elections where the Candidate files Disclosure Reports to find out the limits.

Primary/General/Special Election Campaign Limits

Each Primary, General, or Special Election Campaign has its own limit. Therefore, Contributors may give up to the limit for each election in which the Candidate participates. Candidates and Committee Treasurers must ensure that the Election Limits are not exceeded and that those funds are spent only for the election to which they pertain, unless the funds were surplus funds left over from a prior election.

Note: In order for a Candidate or a Candidate's Committee to qualify for a separate Primary Contribution Limit, the Candidate must be participating in a contested Primary. This also includes participation in a Primary where an "Opportunity To Ballot" has been perfected.
The Candidate or Candidate's Committee receives an additional Primary Contribution Limit for every contested Primary in which the Candidate participates.

Family Limits

The Election Limit for family members is an <u>aggregate</u> limit from all the Candidate's family (defined as the Candidate's: child, parent, grandparent, brother, sister, and the spouses of those persons). Any one member of the Candidate's family can contribute any portion of the family limit, or the entire family limit. However, whatever portion is contributed reduces the remaining amount of the aggregate that is left for the other family members to divide. If one (1) family member contributes the whole limit, then the limit has been reached and the rest of the family is prohibited from making any contributions.

Candidate Contribution Receipt Limits

The following charts set forth the maximum election limits that may be received by a Candidate for a particular office. Column A represents the amount that can be received from any non-family Contributor and Column B represents the amount that can be received from the family.

		Column A	Column B
Office	**Election**	**Non-Family Limit**	**Family Limit**
Statewide Governor Lt. Gov. Comptroller Atty. Gen.	Primary	Total number of enrolled voters in the candidate's party in the state x $0.005.*	Total number of enrolled voters in the candidate's party in the state x $0.025.
	General	Any amount up to $37,800.	Total number of registered voters in the state x $0.025.
NYS Senate	Primary	$6,000	$0.25 x enrolled voters in candidate's district and party but at least $20,000, and no more than $100,000.
	General	$9,500	$0.25 x registered voters in district but at least $20,000, and no more than $100,000.
NYS Assembly	Primary	$3,800	$0.25 x enrolled voters in candidate's district & party but at least $12,500, and no more than $100,000.
	General	$3,800	$0.25 x registered voters in district but at least $12,500, and no more than $100,000.
NYC Offices of Mayor, Public Advocate, and Comptroller	Primary	Total number of enrolled voters in candidate's party in the city x $0.05*	$0.25 x enrolled voters in candidate's party in the city but at least $1,250, and no more than $100,000
	General	Any amount up to $37,800	$0.25 x registered voter in the city but at least $1,250, and no more than $100,000

* The formula amount up to $18,100, but at least $6,000.

***NOTE**: Candidates opting into the NYC Public Financing program should check with that Public Finance Board for further limitations.*

		Column A	Column B
Office	**Election**	**Non-Family Limit**	**Family Limit**
All Other Public Offices* & Supreme Court Justice	**Primary**	**$0.05 x enrolled voters in candidate's party & district but at least $1,000, with a maximum of $50,000**	**$0.25 x enrolled voters in candidate's party & district but at least $1,250, and no more than $100,000**
	General	**$0.05 x registered voters in candidate's district but at least $1,000, with a maximum of $50,000**	**$0.25 x registered voter in candidate's district but at least $1,250, and no more than $100,000**

* Contact local Board(s) of Elections for Contribution Limits (based on number of enrolled/registered voters) for local Candidates.

The General Election Limit applies to Special Elections as well.

Please remember that these limits are for the entire Election Cycle. Generally, the Election Cycle is either two (2) or four (4) years (see “Campaign Cycle” in “Frequently Used Terms” in this *Handbook)*. Where a recipient’s limit exceeds $5,000, a corporation is still restricted to its aggregate limit of $5,000 in a Calendar Year. But, the Corporation may contribute during each year of the election, subject to both the remaining amount of the Candidate’s limit for the Election Cycle, and the remainder of the Corporation’s own aggregate Calendar Year Contribution Limit.

A Contribution is deemed attributable to the very next election in which the Candidate participates. The date of the Contribution is the Date of Receipt. If the Date of Receipt is after an Election Day, it automatically applies to the very next election for that Candidate. The only exception to this rule is where, as of Election Day, the debts of the Candidate/Candidate’s Committee exceed the Ending Cash Balance on hand.

In this instance, the Candidate/Candidate’s Committee can receive contributions from Contributors that have not yet reached the Contribution Limit for the Candidate for the previous election. However, the amount that can be collected toward the previous Election’s Limit can only equal the amount of the Outstanding Debts which is greater than the Cash Balance On Hand as of Election Day. In other words, contributions allocated to prior Campaigns to pay Outstanding Debts must remain within the limits applicable to that election.

Ballot Issues - there are no limits on contributions for ballot issues.

Party or Constituted Committees - these Committees may not, in a Calendar Year, receive more than $94,200 from any one (1) contributor, except Corporations. The $5,000 aggregate Corporate Contribution Limit would apply.

Housekeeping - there are no limits on contributions to a Party or Constituted Committee for Housekeeping Expenses. Housekeeping contributions must be clearly designated as Housekeeping on the check. Contributions by a Corporation for Housekeeping are not applied to the Corporation's $5,000 aggregate Calendar Year Contribution Limit. Contributions from an individual for Housekeeping are not applied to the individual's $150,000 aggregate Calendar Year Contribution Limit.

The person making a contribution, as well as the person receiving it, is responsible to ensure that the limits are not exceeded.

ELECTRONIC FILING WITH NYSBOE

For electronic filing with NYSBOE, filers must submit Campaign Finance Disclosure Statements electronically **EITHER** by diskette, CD or DVD **OR** by e-mail, using NYSBOE's Electronic Filing Software. It is important to make sure you are using the most recent version of the NYSBOE Electronic Filing Software (EFS). At this printing, the most recent version is EFS v4.0. You can obtain the latest version of the EFS Software and User Guide under the Campaign Finance heading at the Board's web address: http://www.elections.state.ny.us.

The *Quick Reference Guide* to using the Electronic Filing System (EFS) software, which immediately follows this section, contains specific instructions on:

- Downloading and Installing Electronic Filing System (EFS) software
- Using the EFS program
- Creating a Master Record
- Creating a Report/File
- Entering Schedule Data
- Printing Reports
- Saving Reports
- Sending/Submitting Reports to NYSBOE
- Verifying Receipt & Accuracy of Transmitted Reports
- Technical Assistance

If you do not have access to the Internet, wish to request the EFS software on CD, or if your have technical questions, contact the NYSBOE Information Technology Help Desk at (518) 474-8200 or 1-800-458-3453 or by email at efshelp@elections.state.ny.us. The *EFS User Guide* is also available from the web address listed above, as well as from the Help menu in the EFS v4.0 software.

HIGHLIGHTS ON ELECTRONIC FILING

Filer ID/PIN

Before a filing can be accepted by NYSBOE, a filer must **FIRST** Register with NYSBOE by submitting the appropriate Registration Forms (see "Who Must File & What Must Be Filed?" section of this *Handbook*). The Filer will then be assigned a Filer Identification Number (Filer ID #) and Personal Identification Number (PIN).

It is critical a Filer **DOES NOT** use the NYSBOE software to prepare a report for filing **BEFORE** receiving a Filer ID and PIN from NYSBOE. Doing so will result in the Filer having to re-enter all data in the report, as reports prepared without a correct Filer ID/PIN cannot be uploaded into the database. Since a PIN serves as an electronic signature, PIN use is mandatory to authenticate a filing.

Submission of Financial Disclosure Statements

Electronic filings may be submitted to NYSBOE in one (1) of two (2) ways:

1) Via mail on diskette, CD, DVD to: NYS Board of Elections
40 Steuben Street
Albany, New York 12207
Attn: Campaign Finance Unit

OR

2) As an e-mail attachment to: efsfiling@elections.state.ny.us

Consult the *EFS User Guide,* or the *Quick Reference Guide* which immediately follows this section, for specific instructions on submission of electronic filings to NYSBOE.

Online Filing Options

Filers registered with NYSBOE can submit the following reports on paper, or choose to submit them online:

- In-Lieu-Of Statement
- No-Activity Reports
- 24-Hour Notices
- Notice of Inactive Status

However, the Electronic Filing Software (EFS) cannot be used to create/submit these reports online. They can only be electronically created and submitted online at www.elections.state.ny.us:

- CLICK [Campaign Finance]
- CLICK [Filing Options]
- Select the appropriate report
- Follow the step-by-step instructions (Filer ID and PIN # needed)

Resignations/Terminations for Electronic Filers (additional requirements)

The Filer must submit a fully completed paper Verification Statement (CF-18), if the Filer's report is either:

1) an Itemized Report created using the Electronic Filing Software (EFS), whether filed as an attachment to an email, or filed by mail on diskette, CD or DVD, or

2) a report filed online (i.e., In-Lieu-Of Statement or No Activity Statement)

. . . and is intended by the Filer to be either a Treasurer Resignation Report or a Termination Report.

The fully completed form must contain an original signature and be submitted by mail to NYSBOE. A Resignation or Termination cannot be requested otherwise or processed without submitting the completed CF-18. Forms submitted by fax or by an electronic file attached to an email will be rejected. A Resignation or Termination can only be granted by NYSBOE, and is not effective until so granted.

For additional requirements pertaining to Resignations or Terminations, consult the *Handbook.*

Ongoing Filing Obligation

Filers are required to continue to file **all applicable** Election Reports, as well as **all** Periodic Reports, with NYSBOE and/or Local Boards until Termination has been requested. Termination must be requested and processed separately with each Board where the Filer is registered. Termination with one (1) Board does not equal Termination with another Board. Additionally, simply closing a Filer's bank account does not terminate that Filer's obligation to continue to file Campaign Financial Disclosure Statements with the applicable Board(s) of Elections until they successfully terminate. Refer to the appropriate *Handbook* sections for detailed information.

Important Information for Certain Local Filers

Making a first electronic filing with NYSBOE when already filing Locally

*NOTE: The information below does not apply to Local Filers whose **first** filing will be made with **BOTH** a Local Board and the State Board of Elections, since they will not have an initial balance needing to be carried forward from a previous report.*

Active Local Filers (Candidates and/or Committees) filing with a Local Board of Elections, other than those Filers noted above, who also become obligated to file electronically with NYSBOE because they have raised or spent more than $1,000 in 2005 or 2006 or 2007, or have raised or spent, or expect to raise or spend more than $1,000 in 2008, must comply with the following:

- Initial electronic filing must contain the ending cash balance of the most recent paper filing made at the Local BOE. Failure to do so will result in the initial filing and all future filings having incorrect balances.

- In order to properly carry forward the ending cash balance onto the first electronic filing, Local Filers are required to do a **one-time entry on Schedule G (Transfers-In)**. To do so, the following information must be entered on Schedule G:

  Date - Use the cut-off date of this filing you are preparing now as your first filing for the State (e.g., January 11, 2008 is the cut-off date for January 15, 2008 Periodic filing).

  Transfer Type - Use Type 2 (Committee solely supporting same candidate).

  Name - Treasurers will list their Committee Name. Candidates filing their own report will list their name.

  Amount - Record the ending cash balance from the last paper report filed with the Local Board of Elections.

Twenty-four (24) hours after transmitting a Filing, check the NYSBOE website to verify that the data and the ending cash balance are correct. Failure to make the one-time entry on Schedule G will result in an incorrect balance, which will carry forward to future filings and may prevent a Filer from terminating.

Requesting an Electronic Filing Exemption (CF-19)

To request an Exemption from filing electronically with NYSBOE, a Filer must complete and submit an Application for Electronic Filing Exemption (CF-19) form to NYSBOE. The CF-19 must be submitted by mail, on paper with an original signature. Forms submitted by fax or by an electronic file attached to an email will be rejected. An Exemption can only be granted in writing by NYSBOE, and is not effective until so granted.

NOTE: Paper reports submitted ***without an Exemption*** *formally granted in writing by NYSBOE,* ***will be rejected and returned.*** *This may result in a Filer being subject to a penalty for late filing or non-filing.*

To qualify for an exemption from the electronic filing requirement, which is a special and limited permission to submit reports on paper, Filers must meet BOTH of the following criteria and submit a CF-19 (Application for Electronic Filing Exemption):

1) Filer does not have access to the technology necessary to comply with the electronic filing requirement. "Access to the technology" is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements;

   AND

2) Filing electronically would cause a substantial hardship. "Substantial hardship" is defined as the financial inability of the Committee and/or the Candidate to purchase and/or acquire access to the technology (i.e., a computer) necessary to comply with the electronic filing requirements.

   - It is not the obligation of a Treasurer or a Candidate submitting his/her own reports, to use personal funds to provide access to technology (i.e., buying a computer). Committee funds may be used to purchase a computer. If the Committee or the Candidate, based upon contributions received, has a significant cash balance on hand at the time of the application, they will not meet the substantial hardship criteria. (A low cash balance is not determinative of "substantial hardship." The amount of money raised or spent by a Candidate or Committee as shown in past reports, is the determining factor.)

   - A Filer does not need Internet access or email to submit reports electronically. Reports can be submitted by mail on diskette, CD or DVD.

   - If an exemption is granted, the filer MUST submit all required Election Reports, and all Periodic Reports, on paper using the CF-01 Disclosure Statement, which must contain an original signature, together with all applicable Schedules and a Summary and Status Report.

   - An exemption from electronic filing DOES NOT exempt the filer from having to file at all—all necessary reports are still required to be filed.

   - The exemption, if granted, is only for the specified period of time granted as stated in the Board's written response to the application. Upon expiration, reports must be submitted electronically, unless another exemption request has been submitted and approved.

   - An Application for Electronic Filing Exemption (CF-19) must be submitted to the State Board at least 30 days prior to the filing due date or the expiration date of a previously granted exemption.

   - Filers who receive an exemption are obligated to inform the State Board of any change in circumstances (i.e., substantial increase in cash balance and/or receipts and expenditures) which would disqualify the Committee/Candidate from the exemption for electronic filing. The State Board may revoke the exemption at any time.

QUICK REFERENCE GUIDE
to Electronic Filing Software (EFS)

This *Quick Reference Guide* is a condensed version of the *Electronic Filing Software (EFS) User Guide (v4.0),* providing step-by-step instructions for:

- Downloading and installing the necessary NYSBOE software to access the Electronic Filing Program;
- Creating a Master Record;
- Creating a Financial Disclosure Statement (Report);
- Printing and saving such reports;
- Submitting reports to NYSBOE (via email or mailing a diskette/CD/DVD); and
- Verifying reports for receipt and accuracy via the web (www.elections.state.ny.us).

1. Downloading & Installing Electronic Filing Software (EFS)

To download the most recent version of the EFS:

1. Go to the NYSBOE website at: www.elections.state.ny.us
2. CLICK [Campaign Finance]
3. CLICK [Downloads] Under [Electronic Filing Software] and [User Guide]
4. CLICK [Download latest Version 4.0 of NYSBOE Electronic Filing System Software]
   (for Microsoft Vista Users: CLICK [VISTA] link and follow instructions)

Depending on your computer settings, a box will then offer the options to [SAVE or RUN] or [RUN] or [SAVE]:

- If using a **high-speed Internet** connection, choose [RUN] to install the EFS program on the C: drive under [Programs]. At the same time a shortcut icon (torch on top of a building) called "Electronic Filing Program" will also appear on your Desktop. Use this Desktop icon to access and open your EFS program.

- If using a **dial-up Internet** connection, choose [SAVE] and save the EFS Program to your Desktop. After saving (which can take up to 1 hour), a [setup.exe] folder will appear on your Desktop. DOUBLE CLICK [setup.exe] file to launch installation. If saving the [setup.exe] file fails, contact the Help Desk to request installation assistance or to request an installation disk to be mailed to you. If the EFS program on the **mailed CD** does not automatically start when inserted, use Windows Explorer to locate and launch the **setup.exe** file from the CD.

During any installation, accept all Default settings (CLICK [Next]) whenever prompted. Upon successful installation, the EFS User Guide (the source document of this Quick Reference Guide) will open as a PDF document and be available for printing. Please refer to the *EFS User Guide* for screen shots and troubleshooting hints.

2. Begin Using the EFS Program

1. DOUBLE CLICK the [Electronic Filing Program icon] on your Desktop (it looks like a torch on top of a building)
2. CLICK [BEGIN SESSION]
3. ENTER [your initials]
4. CLICK [OK] or [ENTER]

The NYSBOE Disclosure Filing Software Version 4.0 screen will now appear.

3. Create a Master Record (completing the gray "Filer Information" section)

1. CLICK in the [ID Number] field
2. ENTER the [6-character Filer ID Number] that was assigned to you by NYSBOE (e.g. A12345 or C12345). If you do not have a Filer ID #, **STOP!** and refer to the "Who Must File & How to File" section of the *Handbook*
3. TAB to [Committee or Candidate Name] field (type in whichever is applicable)
   a. For State office, fill in [Office, District and Type] fields;

      OR

   b. For County office, leave [Office, District and Type] fields BLANK
4. TAB through to [Treasurer Information]
5. ENTER the Treasurer and Depository (bank) information
6. CLICK [✔] (Post-Edit Button) on the Navigation Bar—this will save your Master Record

The Master Record has been saved as a permanent record on your computer and a pop-up box will appear:

1. ENTER the [8-digit PIN] that was assigned with your Filer ID Number
2. CLICK [OK].

Now you are ready to create your Report.

For Treasurers/Preparers Serving Multiple Committees

To create additional Master Records for preparing reports for more that one (1) Committee:

1. CLICK [+] button, to add a "New Record" (the Filer section will now go blank)
2. To add an additional Committee Record, follow steps in #3 for "Creating Your Master Record"

NOTE: Multiple Filer ID #s are stored alpha-numerically

If after logging out you need to search for a previously created Master Record:

1. Log in again (EFS defaults to the lowest alpha-numeric figure)
2. DOUBLE CLICK in the [Filer ID] field (a drop down list will appear)
3. Choose the appropriate [Filer ID #]
4. Enter the [PIN] for that Filer ID

4. <u>Creating a Report</u>

On the menu bar located at the very top of the screen:

1. CLICK [Inventory Maintenance]
2. CLICK [Add Periods/Schedules]

An [Inventory Maintenance] box will appear on mid-left part of screen:

1. CLICK on the [downward arrow] to select Year Filing Due
2. CLICK [appropriate year] on the drop down box. A note will appear explaining how to properly choose the Filing Year—read to verify the correct year has been selected.
3. CLICK [OK]
4. Tab to the [Filing Period] field
5. CLICK [downward arrow]
6. CLICK [appropriate Filing Period]
   (please make sure to select the correct Filing Period)
7. TAB to the [Schedule] field
8. CLICK [downward arrow]

Select appropriate Schedule (for a list of Schedules and their use titles, see next page):

1. CLICK the [Letter] of the Schedule needed
2. CLICK [✔] (Post-Edit Button) in the Filing Inventory box to Save
   the Schedule should appear in the Filing Inventory box on the Right

For each Schedule needed, repeat steps 1 & 2

Once you have created all the Schedules needed for your Report Period:

- CLICK [Exit] (<u>inside</u> the Inventory Maintenance box)

Now you can start entering data into your Schedule(s).

List of Schedules
Submitted with Disclosure Statement (CF-01)

Schedule A - Monetary Contributions/Individual & Partnerships

Schedule B - Monetary Contributions/Corporate

Schedule C - Monetary Contributions/All Other

Schedule D - In-Kind Contributions

Schedule E - Other Receipts

Schedule F - Expenditures/Payments

Schedule G - Transfers In

Schedule H - Transfers Out

Schedule I - Loans Received

Schedule J - Loan Repayments

Schedule K - Liabilities/Loans Forgiven

Schedule L - Expenditure Refunds

Schedule M - Contributions Refunded

Schedule N - Outstanding Liabilities/Loans

Schedule O - Partners/Subcontracts

Schedule P - Non-Campaign Housekeeping Receipts

Schedule Q - Non-Campaign Housekeeping Expenses

Summary of Receipts/Expenditures

Status Report

5. Entering Transactions onto Schedule(s)

In the Filing Inventory box:

1. CLICK once on [Year/Filing Period/Schedule] where transactions needed to entered
2. DOUBLE CLICK on same to convert to entry mode
3. You should now see an asterisk [*] next to the [Date] field in the transaction section. This indicates that you can now start entering transactions (if no asterisk appears , then repeat step #1)
4. Enter the date (MM/DD/YYYY)—typing in date is easier than using automatic calendar
5. TAB forward to each [Field] and fill in the required information. Please complete **ALL** fields
6. After entering ALL transactions, CLICK [✔](Post-Edit Button) to save all transactions

6. Printing Reports (for your records only)

1. In the Filing Inventory box, CLICK on **ANY** Schedule of the Filing Period desired to be printed
2. On the menu bar located at the very top of the screen, CLICK [Reports]
3. CLICK on [Full Period] Report
4. Read the NOTE, then CLICK [OK]
5. Enter **[Opening Balance]** (same as **Ending Balance** from last report filed)
6. On the menu bar located at the very top of the screen, CLICK [Printer]
7. CLICK [Close] to get back to EFS screen
8. Before saving and submitting your Disclosure Statement, review printed report for accuracy

7. Saving Financial Disclosure Statement(s)/Report(s)

On the menu bar located at the top of the screen:

1. CLICK [File].
2. CLICK [File Disclosure Statement]
3. Read the Legal Notice
4. CLICK [OK]

Select Filing Type:

1. Select [STANDARD] for **Original** filing OR [AMENDMENT] for **Amended** filing
2. CLICK [OK]
3. Select the [Filing Period] you wish to save
4. CLICK [OK]
5. Verify that the Default Filing Year is correct
6. CLICK [OK]
7. Verify that the Filer ID is correct
8. CLICK [OK]
9. Prompt will appear to [Insert a Formatted Diskette in Drive A:]:

   * If you are NOT sending a report by disk, CLICK [OK] . The prompt to "Insert a Disk into Drive A:" will appear again—ignore it and CLICK [Cancel].

   * If you ARE copying and sending a report by diskette/CD/DVD, insert and follow instructions.

The [Save Disclosure Filing] box will now appear.

1. At "SAVE IN:" choose [Desktop]
2. CLICK [Save]—your report is now saved and copied onto your Desktop.

An [Export is Complete] note will appear on the bottom portion of your Software. It will contain the number of transactions exported (This number should always be greater than zero). This note will also contain the internally coded name of the associated report (e.g., **A12345.08J**: 08=year; J=Reporting Period). In this case, the letters DO NOT refer to the Schedules; they represent the Reporting Period Codes:

Report Period Codes

A = 32-Day Pre-Primary
B = 11-Day Pre-Primary
C = 10-Day Post-Primary
D = 32-Day Pre-General
E = 11-Day Pre-General
F = 27-Day Post-General
G = 32-Day Pre-Special
H = 11-Day Pre-Special
I = 27-Day Post-Special
J = January Periodic
K = July Periodic
L = Off Cycle
XA = Amended Report (where X = any letter above)

NEVER alter the file name assigned to your report!

(Re-naming the file will make it unidentifiable to NYSBOE's EFS and the loader.)

8. Submitting Financial Disclosure Statements to NYSBOE

There are two (2) methods for submitting Financial Disclosure Statements: a) create an email, attach your Statement and send; **OR** b) save your Statement to a diskette, CD or DVD, and mail.

a) Create Email, Attach Statement, and Send

The EFS file that was created and saved on your Desktop now needs to be attached to an email and sent to NYSBOE.

When "Disclosure Filing Software" screen is open, and your default email program is set (e.g., Outlook or Outlook Express):

- CLICK [File] from the menu bar
- Select [Send Statement by Email]
  (this will launch your default email programs, opening a blank message addressed to the NYSBOE email address)
- An "email box" will appear with the NYSBOE address (efsfiling@elections.state.ny.us) in the "To:" field

NOTE 1: If your email program is not set up as the default, then create an email addressed to efsfiling@elections.state.ny.us and enter "EFS Filing" in the "Subject:" field. Attach and send the email following the instructions below.

NOTE 2: Please note that Hotmail and MSN cannot be used for emailing Disclosure Statements. In this case, set up an alternate email account, create an email and follow the instructions in NOTE 1.

Attach Statement to Email

(Be sure to do this—failure to do so transmits an email with NO report):

1. CLICK on [Paper Clip] symbol; or the words [Attach File] or [Insert File Attachment]
2. In "Look In" box, CLICK on [drop down arrow]
3. Select same location where you previously chose to save your EFS file (e.g., Desktop)
4. Select the report just saved (e.g., A12345.08J)
    a. filer ID# = XXXXXX
    b. Year = XX
    c. Report Code = X (refer to the Reporting Period Code list above)
    d. XA = Amended Report
5. Verification that an attachment was made to the email is specific to each email program
6. CLICK [Send]

Unless prevented by certain firewalls (to which adjustments can be made), you should next receive an Automated Email Response from NYSBOE confirming receipt of your email.

However, receipt of this email DOES NOT confirm proper uploading of your Financial Disclosure Statement. Twenty-four (24) hours after submitting your report, go to the NYSBOE website to verify receipt and accuracy (see #9 below for instructions).

OR

b) Save Financial Disclosure Statement to a Diskette, CD or DVD and Mail

1. Save your EFS File onto a Diskette, CD or DVD
2. Label your diskette with your:
    a. Filer ID Number
    b. Committee Name
    c. Year of Report
    d. Name of Report (ex. 32-day Pre-General; January Periodic, etc.)
3. Place diskette in a secure mailer and mail to:

NYS Board of Elections
Attn: Campaign Finance Unit
40 Steuben Street
Albany, NY 12207

In ALL cases, the receipt and content of Disclosure Statements sent to NYSBOE need to verified. To do so, please continue with Step #9.

9. Verifying Receipt and Content of Reports Submitted

After sending your EFS file to NYSBOE (either by email or by mail), it is necessary for you to access the NYSBOE website to: a) verify its receipt, and b) verify its content.

It typically takes up to **24 business hours after NYSBOE has received and successfully uploaded your filing** to access your Reports online. To do so, follow these steps:

Verify Receipt

1. Access your Internet browser
2. Enter www.elections.state.ny.us in the "Address" line
   (Suggestion: add this Link to your "Favorites" for easy future access)
3. CLICK [Campaign Finance]
4. CLICK [Disclosure Reports]

Under "Query the Database":

5. CLICK [View Committee by Name]

To search for your Committee, input one (1) word unique to the name of your Committee:

- CLICK [Submit Query]
- CLICK [Your Filer ID Number]

All the Disclosure Reports that NYSBOE has received from you since July 1999 will now be visible.

Verify Content

- CLICK on report you would like to view
- CLICK on a submitted Schedule or Summary
- Confirm that all data is entered and totals are correct
- To view additional Schedules, CLICK [BACK] and repeat

If incorrect information is detected, return to the EFS software, make necessary corrections to EXISTING report, re-save software report as an Amendment, and re-submit.

10. Technical Assistance

For more details, refer to the NYSBOE Electronic Filing Software (EFS) User Guide available at www.elections.state.ny.us

For assistance with technical questions related to the Electronic Filing Software, refer to its Help menu or contact the Help Desk of the NYSBOE Information Technology Unit by calling (518) 474-8200 OR 1-800-458-3453; or send an email to: efshelp@elections.state.ny.us.

REGISTRATION FORMS

Current versions of the following items are available online at www.elections.state.ny.us under Campaign Finance/Forms:

Committee Designation of Treasurer and Depository (CF-02)

1. This Statement must be filed prior to receiving or expending any funds, and within five (5) days after the selection of the Treasurer and Depository. The Depository must be authorized to do business in New York State and be physically located in New York State.

2. Information required:

   A. Name of Committee

   B. Committee Type

   C. Treasurer Name, Addresses (residential and mailing), Telephone Numbers (residential and business/alternate) and Email Address

   D. Name and Address of the Depository (account number NOT required)

   E. Name(s) of Candidates supported or opposed (if applicable) including Office, District, County and year of election

   Note: Section E. is completed only by Committees that will make Direct Expenditures, other than Contributions, on behalf of or in opposition to a Candidate(s). It should not be completed by a Committee that only makes contributions to Candidates or Committees (i.e., PACs).

   F. Ballot Proposals supported or opposed.

   G. Names and Original Signatures of other persons authorized to sign checks.

   H. Original Signature of Treasurer and Date Signed.

3. Any change in the information, other than the year of election, requires that an Amended CF-02 be filed by the Treasurer, within two (2) days of the change.

4. The CF-02 also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to supply this information.

Committee Statement of Authorization/Non-Authorization by Candidates (CF-03)

Only Committees making direct expenditures on behalf of Candidates must submit this Statement. **PACs do not file this Statement.**

1. This Statement (if applicable) will be filed with the Committee Designation of Treasurer and Depository (CF-02).

2. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on the form changes, other than the year of election, an Amended Statement must be filed.

3. Information required:

   a. Name of Committee

   b. **Section A:** is to be used to list Candidates in whose election the Committee has been authorized to take part. When you list Candidates in Section A, you are stating that the Candidate authorized you to be one of their Campaign Committees for the election. This means that the Candidate has affirmatively acknowledged that you will be raising and spending money on their behalf. In other words, the authorization is decided by the Candidate. The mere fact that the Candidate knows that you are conducting Campaign activity on their behalf **does not** mean that you are an Authorized Committee.

   c. **Section B:** is to be used to list Candidates in whose election the Committee is taking part without specific authorization from the Candidates.

   d. This Statement **must be notarized and contain the Original Signature of the Treasurer.**

   e. This Statement also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to provide this information.

<u>Candidate Committee Authorization and Non-Expenditure Statement</u> (CF-16)

1. This Statement must be filed by a Candidate who has authorized a Committee to disclose all of the financial activity of the Campaign **and** who will <u>not</u> raise or spend any monies except through the Authorized Committee.

   *Note: Candidates with one (1) or more Authorized Committees who also raise or spend monies on their own **outside** of their Authorized Committees, which are not disclosed by the Authorized Committee, do not file this Statement. Instead, they must submit all required Financial Disclosure Reports. These filings would be in addition to their Committee's submitting all required Financial Disclosure Reports.*

2. This Statement is required to be submitted **prior to the first election** in which the Candidate participates, and must be filed no later than 32 days prior to that election date.

3. Provide the Date of the Election, the Candidate's Name, Address, Telephone Number, Office sought (Governor, Senator, etc.), District # (e.g. 43rd Assembly), and Party, if affiliated.

4. Provide the Authorized Committee's Name and the Name and Address of the Treasurer.

5. This Statement **must be notarized and contain the Original Signature of the Candidate.**

6. This Statement also provides for the voluntary submission of the Candidate's Social Security number. There is no penalty for failure to provide this information.

7. If any information changes (other than the Election Year), an Amended Statement must be submitted by the Candidate.

STATE OF NEW YORK
STATE BOARD OF ELECTIONS
COMMITTEE DESIGNATION OF TREASURER AND DEPOSITORY
Section 14-118 of the Election Law
(See instructions on reverse side)
THIS FORM MUST CONTAIN ORIGINAL SIGNATURES AND BE COMPLETED IN FULL.

New Registration [ ] For State Campaign [ ] ______________________
Amended Registration [ ] For Local Campaign* [ ]*County ________ Filer ID# (To be assigned)

A. NAME OF COMMITTEE:______________________________

B. COMMITTEE TYPE: (see reverse) ______________________________

C. TREASURER: Full Name ______________________________

Res. Address ______________________________

______________________________ **Zip** ______________

(Voluntary)
Soc. Sec. # ____/____/____ **E-mail Address** ______________________

Mailing Address ______________________________

(If different) ______________________________

______________________________ **Zip** ______________

Res. Tel. No. ______________ **Bus./Alternate Tel. No.** ______________

D. DEPOSITORY: **Name of Bank** ______________________________

Address ______________________________

E. CANDIDATE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary)

	ELECTION YEAR	OFFICE/DISTRICT	FIRST/MIDDLE INITIAL/ LAST NAME OF CANDIDATE	SUPPORT/OPPOSE
1.				
2.				
3.				

F. BALLOT ISSUE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary) **SUPPORT/OPPOSE**

1. ______________________________ ______________

2. ______________________________ ______________

G. PERSON(S) OTHER THAN TREASURER AUTHORIZED TO SIGN CHECKS:
(Attach additional pages if necessary.)

Full Name 1. ______________________ 2. ______________________

Res. Address ______________________ ______________________

______________ **Zip** ______________ ______________ **Zip**______________

Signature ______________________ ______________________

H. THE ABOVE INFORMATION IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF

______________________ ______________________

Date Treasurer's Signature **(must be original in blue or black ink.)**

CF-02 03/07

INSTRUCTIONS FOR COMPLETING FORM CF-02
(PLEASE PRINT OR TYPE IN BLACK INK)

This form must be filed by all political committees as defined in Section 14-118 of the Election Law. **It is due within five days after the choice of a treasurer and depository, and prior to receiving or expending any funds.** It must contain original signatures. Faxed, photocopied, or e-mailed forms/ signatures are not acceptable. Candidates themselves are not required to file this form.

Type of registration:

1. All new committees shall check the new registration box.
2. If any information provided on this form, as previously filed, changes, other than the year of election, the treasurer must file an amended registration statement completed in full within two days of any change of information. The amended registration box must be checked.
3. For State Campaigns - must be checked for committees that are supporting or opposing candidates for New York State Governor, Lt. Governor, Comptroller, Atty. General, Assembly, Senate and State Supreme Court.

   For Local Campaigns - must be checked for all other offices. List the county name for the local office sought.

Identification No.: This number will be assigned to the committee by the Board of Elections after the filing of the registration statement and should be used on all documents and correspondence.

Note: County Boards of Election may or may not use identification numbers. The number assigned by a county board may be different than the State Board number.

Item B: Committee Type: Select one of the following types: (Consult the Campaign Finance Glossary for definition)

1	Authorized single candidate committee*	**2**	PAC
3	Constituted County	**4**	Party County
3H	Constituted County Housekeeping	**4H**	Party County Housekeeping
5	Constituted State	**6**	Party State
5H	Constituted State Housekeeping	**6H**	Party State - Housekeeping
7	Duly Constituted Sub-Committee of a County Committee	**9**	Others (e.g. Multi-candidate comm. & Unauthorized committees
7H	Duly Constituted Sub-Committee of a County Committee - Housekeeping	**9B**	Ballot Issue

Note: For 7 and 7H, add T= Town, C=City, V=Village. For City of New York include Assembly District#.
In addition, add H for Housekeeping. (e.g. 7T, 7C, 7V, 7C64 or 7HT, 7HC, 7HV, 7HC64)

* The candidate has affirmatively acknowledged that this committee will be raising and spending money on their behalf. (e.g. Friends of John Doe)

Note: A candidate may need to file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16)(See page 21).

Item C: Social Security #. We are requesting your social security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

Item D: Only a banking organization authorized to do business and physically located in New York State may be designated a depository.

Item E: This section should only be completed by committees engaged in campaign activity in support of or in opposition to a candidate. It should not be completed by a committee that only makes contributions to candidates or their committees (e.g. PACs).

Note: In addition to the CF-02, the CF-03 Committee Statement of Authorization or Non-authorization by Candidates **must** be filed by this committee for all candidates listed in this section.

STATE OF NEW YORK
STATE BOARD OF ELECTIONS

COMMITTEE STATEMENT OF AUTHORIZATION OR NON-AUTHORIZATION BY CANDIDATES

Section 14-112 of the Election Law
(See instructions on reverse side)

New Statement [ ]
Amended Statement [ ]

Committee Identification No.
(To be assigned by the Board)

NAME OF COMMITTEE: ____________________

A. List in this Section those candidates who have **Authorized** the committee to aid or take part in their election (other than by making contributions). Provide name, office and district.

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1. ________	________	________	________
2. ________	________	________	________
3. ________	________	________	________
4. ________	________	________	________

B. List in this Section those candidates who have **not Authorized** the committee to aid or take part in their election (other than by making contributions).

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1. ________	________	________	________
2. ________	________	________	________
3. ________	________	________	________
4. ________	________	________	________

VERIFICATION STATEMENT BY TREASURER

I ____________________ , being duly sworn, depose and say that the information in this statement is complete, true and correct.
(Print Full Name of Treasurer)

CF-03 3/07

Sworn to before me this ________ day

of ____________________ , 20___

____
(Notary Public or Commissioner of Deeds)

____
Signature of Treasurer

____
Social Security # - (voluntary)

____
Number & Street Name

____
City, State & Zip Code

( ) ____________________
Telephone Number

INSTRUCTIONS FOR COMPLETING FORM CF-03

(Please print or type in black ink)

1. All committees that are taking part in the campaign of any candidate by making direct expenditures on their behalf must complete this form. If your committee only makes contributions to candidates or to candidate committees, then you DO NOT complete this form. (e.g. PACs)

2. A. When you list a candidate's name in Section A, you are stating that the candidate authorized you to be one of their campaign committees for the election. This means that the candidate has affirmatively acknowledged, that you will be raising and spending money on the candidate's behalf. In other words, **the Authorization is determined by the candidate.** The mere fact that the candidate knows that you are conducting campaign activity on the candidate's behalf does not mean that you are an Authorized committee.

   Note: The candidate may need to file the Candidate Committee Authorization and Non-Expenditure Statement (CF-16).

   B. If you are not authorized as above, but are making direct expenditures on behalf of candidate(s), list the candidate(s) name(s) in Section B.

3. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on this form changes, other than the year of election, then you must file an amended statement.

4. If this form does not provide enough spaces for candidates, then use additional sheets.

5. This form must be filed together with the Committee Designation of Treasurer and Depository (CF-02).

6. This form must contain original signatures. Faxed, photocopied, or e-mailed forms/signatures are not acceptable. This form must also be notarized.

7. Social Security # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign finance disclosure requirements. Disclosure of this information is strictly voluntary.

STATE OF NEW YORK
BOARD OF ELECTIONS
CANDIDATE COMMITTEE AUTHORIZATION AND
NON-EXPENDITURE STATEMENT
Section 14-104 of the Election Law
(See instructions on reverse side)

New Statement [ ]
Amended Statement [ ]

This form must be filed no later than the 32nd Day prior to the first election to which it relates.

Candidate's Full Name: ______________________________

Candidate's: **Res. Address** ______________________________

______________________ **Zip** __________

Mailing Address ______________________________
______________(If different)

____

______________________ **Zip** __________

Soc. Sec. # ____/____/____ **E-mail Address** ____________________
(Voluntary)
Telephone No. (   )__________ **Business #** (   )______________

Office ____________________ **District** ____________________

Party or Independent Body ______________________________

I SWEAR OR AFFIRM THAT

1) I am a candidate for election to the office as stated above.

2) I have made no campaign expenditures relating to my candidacy nor do I intend to make any such expenditures except through the following authorized political committee which will file on my behalf:

Name of Committee: ______________________________

Treasurer's Name: ______________________________

Residence Address: ____________________ **Zip**__________

Sworn to before me, this _________ day

of ________________________ , 20 _____

____
(Notary Public or Commissioner of Deeds)

____
(Signature of Candidate)

CF-16 3/07

INSTRUCTIONS FOR COMPLETING FORM CF-16

(Please print or type in black ink)

This statement must be used by any candidate for public office or party position who has not expended funds and does not intend to expend funds in connection with his or her election **except** through a duly authorized political committee. The duly authorized political committee, in this instance, shall fulfill all of the campaign financial reporting requirements for the candidate.

If the committee named does not register (CF-02), the candidate will be responsible for reporting all financial activity for the campaign.

A candidate filing this statement, whose authorized committee has registered, shall not be required to file campaign financial reports (CF-01) unless the candidate shall make campaign related expenditures outside of his/her authorized committee(s).

Note: If you are a candidate with or without an authorized committee and you have made or plan on making any expenditures on your own, you do not file this form. Instead, you are required to file a CF-01 on the required filing dates. If you have an authorized committee, these filings would be in addition to those made by the committee.

This non-expenditure statement is required to be filed no later than the thirty-second day prior to the first election to which it relates, and will remain in effect for each subsequent election. However, an amended statement must be filed if any of the information changes other than the year of the election.

Candidates that are required to file this form must furnish the requested information for all authorized committees. This can be done by completing several forms or by attaching an addendum to this report.

Candidates for statewide office, Justice of the Supreme Court, State Senate and Member of the Assembly must file this form with the State Board of elections. All other candidates file this form with their county board of elections. They also file this form with the State Board of Elections if their authorized committee is also obligated to register and file with the State Board of Elections. Candidates for village office file with the village clerk, unless the county board is running the village election. If so, they file with the county board of elections.

SOCIAL SECURITY # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

IMPORTANT: The CF-03 Committee Statement of Authorization or Non-Authorization by Candidate must also be completed and filed by the committee identified on this CF-16, in order to complete the authorization process. This form must contain original signatures. Faxed, photocopied or e-mailed forms/signatures are not acceptable.

DISCLOSURE FORMS

This section includes sample forms and detailed instructions for completing the following forms:

- Disclosure Statement Cover Page (CF-01)
  - All Schedules (A-Q)
  - Summary of Receipts and Expenditures
  - Status Report
- Verification Statement (CF-18)
- Application for Electronic Filing Exemption (CF-19)
- Notice of Inactive Status (CF-20)

Current versions of these items are available online at www.elections.state.ny.us under Campaign Finance/Forms.

STATE OF NEW YORK

BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)

IDENTIFICATION

YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

Full name of filer (candidate or committee name)

Mailing address of filer - number and street

City State Zip

Check box if mailing address has changed since last report

☐ [file amended CF-02, CF-03, CF-16 as necessary]

Committee treasurer name (Last) (First)

Is this committee authorized by the candidate? ☐ Yes ☐ No

OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED

STATEMENT IS BEING FILED BY:

☐ Candidate ☐ Political Committee *

☐ Party Committee ☐ Constituted Committee

☐ Housekeeping Account (For Party/Constituted Committees only) ☐ PAC

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

**CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE

1. ☐ 32 day Pre Primary
2. ☐ 11 day Pre Primary
3. ☐ 10 day Post Primary***
4. ☐ 32 day Pre General
5. ☐ 11 day Pre General
6. ☐ 27 day Post General***
7. ☐ 32 day Pre Special
8. ☐ 11 day Pre Special
9. ☐ 27 day Post Special***
10. ☐ Periodic Jan. 15, 20____
11. ☐ Periodic July 15, 20____
12. ☐ 24 hour notice
13. ☐ Off-Cycle

*** Campaign material or a disclaimer must be submitted with Post Election statements.

☐ See Attached ☐ No Campaign Material Produced

☐ Termination Report (you can not terminate if any funds or debts remain)

☐ Amendment Report Date of original report ____ /_____/_____

☐ Treasurer Resignation Report: Copy of letter of resignation attached.

STATEMENT INVENTORY

		Number of Pages	Schedules Amended
Individuals/Partnership Contributions	(Sch. A)		
Corporate Contributions	(Sch. B)		
All Other Contributions	(Sch. C)		
In-Kind Contributions/Other Receipts	(Sch. D/E)	/	/
Expenditure Payments	(Sch. F)		
Transfers In/Out	(Sch.G/H)	/	/
Loans Received/Paid	(Sch. I/J)	/	/
Liabilities/Loans Forgiven	(Sch. K)		
Expenditures Refunds/Contributions Refunded	(Sch.L/M)	/	/
Outstanding Liabilities	(Sch. N)		
Partners/Subcontracts	(Sch. O)		
Housekeeping Receipts	(Sch. P)		
Housekeeping Expenses	(Sch. Q)		
Summary/Status Report		/	/

IN-LIEU-OF STATEMENT

☐ I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you <u>cannot</u> file an In-Lieu-Of Statement for any future reports.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information and belief.

VERIFICATION

Name - Print or type

Signature **(must be original in blue or black ink only.)**

Title

Date Signed Phone number

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR FURTHER INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

CF-01 3/07

STATE OF NEW YORK

BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

The **ELECTION YEAR** is the year of the Primary, General or Special Election to which the transactions in the report relate. This is the calendar year for PACs and Party committees.

The **STATEMENT NUMBER** relates to the numbers 1-12 under Type of Report Section (e.g., 4 = 32 day Pre General)

ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)

(This is the heading.)

The **FILER ID** is the identification number assigned to filers by the Board of Elections. Some boards of elections do not assign filer IDs.

The **STATEMENT PERIOD DATES** are the inclusive dates covered by this report. They must agree with the political calendar's filing cut-off dates.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

1. ☐ 32 day Pre Primary
2. ☐ 11 day Pre Primary
3. ☐ 10 day Post Primary***
4. ☐ 32 day Pre General
5. ☐ 11 day Pre General
6. ☐ 27 day Post General***
7. ☐ 32 day Pre Special
8. ☐ 11 day Pre Special
9. ☐ 27 day Post Special***
10. ☐ Periodic Jan. 15, 20____
11. ☐ Periodic July 15, 20____
12. ☐ 24 hour notice
13. ☐ Off-Cycle

***Campaign materials or a disclaimer must be submitted with Post Election statements.

☐ See Attached ☐ No Campaign Materials Produced

Note: The information for the heading will be the same for each page of the report.

STATE OF NEW YORK

BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

IDENTIFICATION

YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

A ①&②

____

Full name of filer (candidate or committee name)

B

____

Mailing address of filer - number and street

____

City State Zip

Check box if mailing address has changed since last report

☐ [file amended CF-02, CF-03, and CF-16 as necessary]

C

____

Committee Treasurer Name (Last) (First)

D

Is this committee authorized by the candidate? ☐ Yes ☐ No

E ①&②

____

OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED

A ① = If this report is being filed by a candidate and no committee exists, provide the candidate's name.

A ② = If this report is being filed by or on behalf of a treasurer of a committee, provide the committee's name.

B = Mailing address of candidate if A ① or treasurer if A ②.

C = Printed name of treasurer if A ②.

D = If this is a committee which makes campaign expenditures other than contributions, is it authorized by the candidate?

E ① = For committees which are supporting only 1 candidate through campaign expenditures provide the office, district, and name of candidate.

E ② = If the report is filed for a candidate by the candidate [A①- provide office and district only].

STATE OF NEW YORK

BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

STATEMENT IS BEING FILED BY:

A

☐ Candidate ☐ Political Committee*

☐ Party Committee ☐ Constituted Committee

☐ Housekeeping Account ☐ PAC

(For Party/Constituted Committees Only)

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

B

1. ☐ 32 day Pre Primary
2. ☐ 11 day Pre Primary
3. ☐ 10 day Post Primary***
4. ☐ 32 day Pre General
5. ☐ 11 day Pre General
6. ☐ 27 day Post General***
7. ☐ 32 day Pre Special
8. ☐ 11 day Pre Special
9. ☐ 27 day Post Special***
10. ☐ Periodic Jan. 15, 20____
11. ☐ Periodic July 15, 20____
12. ☐ 24 hour notice
13. ☐ Off-Cycle

***Campaign material or a disclaimer must be submitted with Post Election statements. C

☐ See Attached ☐ No Campaign Materials Produced

☐ Termination Report (you can not terminate if any funds or debts remain)

☐ Amendment Report Date of original report ____ /_____/_____ D

☐ Treasurer Resignation Report: Copy of letter of resignation attached.

A = Check the appropriate box for the type of entity filing the report.

B = Check the box next to the report being filed and place that number in the heading.

C = If campaign material was purchased (Palm cards, buttons, scripts of radio or TV ads, etc.) copies must be submitted with Post Election Reports. Otherwise, submit a disclaimer (a signed and dated statement that there was no campaign material).

D = Any regularly scheduled report may also be a Treasurer Resignation Report.

STATE OF NEW YORK

BOARD OF ELECTIONS **DISCLOSURE STATEMENT ---- COVER PAGE**

Itemized Filers

STATEMENT INVENTORY		NUMBER OF PAGES	SCHEDULES AMENDED
INDIVIDUAL/PARTNERSHIP CONTRIBUTIONS	(SCH. A)		
CORPORATE CONTRIBUTIONS	(SCH. B)		
ALL OTHER CONTRIBUTIONS	(SCH. C)		
IN-KIND CONTRIBUTIONS/OTHER RECEIPTS	(SCH.D/E)		
EXPENDITURE PAYMENTS	(SCH. F)		
TRANSFERS IN/OUT	(SCH.G/H)		
LOANS RECEIVED/PAID	(SCH. I/J)		
LIABILITIES/LOANS FORGIVEN	(SCH. K)		
EXPENDITURE REFUNDS/CONTRIBUTIONS REFUNDED	(SCH. L/M)		
OUTSTANDING LIABILITIES/LOANS	(SCH. N)		
PARTNERS/SUBCONTRACTS	(SCH.O)		
HOUSEKEEPING RECEIPTS	(SCH. P)		
HOUSEKEEPING EXPENSES	(SCH.Q)		
SUMMARY STATUS REPORT			

The cover page must always be submitted. The Summary and Status Pages must be submitted unless the In-Lieu-of Statement on the cover page is completed. Please indicate which schedules have been completed by placing the number of pages in the column next to the name of those schedules.

Note: You only need to submit those schedules that are required/necessary to report the types of transactions that occurred during the period. **Do not submit blank schedules or schedules that are not used.**

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

IN-LIEU-OF STATEMENT

☐ I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you <u>cannot</u> file an In-Lieu-Of-Statement for any future reports.

1. If you qualify to file an In-Lieu-Of Statement, check the box and complete the verification section. You must not complete any other schedules.

2. You qualify to file an In-Lieu-Of Statement if you are a candidate and/or any authorized committee(s) solely supporting the candidate and if, at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of the campaign have exceeded $1,000.

3. If you have previously filed an In-Lieu-Of Statement and find that you now exceed this threshold, you must file an itemized report covering all transactions since the beginning of the campaign. Once an itemized statement is required, you may not file an In-Lieu-Of statement for any future reporting.

VERIFICATION

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

VERIFICATION

Name - print or type	Signature **(must be original in blue or blank ink only.)**
Title	Date Phone Number

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

FOR INFORMATION ON COMPLETING THIS FORM CALL 1-800-458-3453

MONETARY CONTRIBUTIONS/Individual & Partnerships Schedule A

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED ❶	NAME ❸	CHECK# ❹	AMOUNT $	PREV. AMT. ❺ $
	STREET APT			
CODE: ❷	CITY-STATE ZIP			

TOTAL THIS PAGE	$ ❻

❼

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule A is used to report all Monetary Contributions from individuals, relatives and partnerships. Funds received from Candidates and their spouses are also reported on this Schedule.

All Unitemized Contributions for the Reporting Period should be added together and listed as "Total Unitemized Contributions" on the last page of your Schedule A. Detailed records must be kept of all contributions (i.e., Name of Contributor, Date Received, Amount), regardless of the amount. At anytime the $99.00 threshold is exceeded from a particular Contributor, from a single or aggregate contribution, during the applicable Cycle (Calendar Year or Election Cycle, depending on the Filer), then the contributions must be itemized. See "Itemized/Unitemized" in the Frequently Used Terms section of the *Handbook* for details. When a partnership's total aggregate contributions exceed $2,500, (Calendar Year for Constituted/Party Committees/PACs; Election Cycle for Candidates/Candidate's Committees) Schedule O must also be completed. Loans from Candidates and/or their spouses should be reported on Schedule I - Loans Received.

❶ Provide the date the monetary contribution was received.

❷ CODE:
- CAN = CANDIDATE/CANDIDATE SPOUSE
- IND = INDIVIDUAL (includes Sole Proprietorships)
- FAM = FAMILY MEMBER: SEE INSTRUCTIONS IN HANDBOOK
- PART = PARTNERSHIP (includes LLPs)

❸ Provide the complete name and address of the contributor

❹ Provide the check number and amount.

❺ Contributions from Joint Accounts are assumed given by the signatory (the person who signed the check). However, if the multiple owners of the account want credit for the contribution, all names and applicable split amounts need to be reported separately, using the same check number. Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds $99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle.

❻ Provide the total monetary contributions for each page.

❼ Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2a of the Summary Page.

MONETARY CONTRIBUTIONS/Corporate Schedule B

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __OF__
DATE RECEIVED ❶	NAME ❷ STREET APT CITY - STATE ZIP		CHECK# ❸	AMOUNT $	PREV. AMT. ❹ $
		TOTAL THIS PAGE		$ ❺	

❻

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule B **is used to report all monetary contributions from Corporations (Corp./Inc./PC).**

NOTE: Limited Liability Company (LLC) contributions are reported on Schedule C.

All Unitemized Contributions for the Reporting Period should be added together and listed as "Total Unitemized Contributions" on the last page of your Schedule B. Detailed records must be kept of all contributions (i.e., Name of Contributor, Date Received, Amount), regardless of the amount. At anytime the $99.00 threshold is exceeded from a particular Contributor, from a single or aggregate contribution, during the applicable Cycle (Calendar Year or Election Cycle, depending on the Filer), then the contributions must be itemized. See "Itemized/Unitemized" in the Frequently Used Terms section of the *Handbook* for details.

❶ Provide the date the monetary contribution was received.

❷ Provide the complete Name and Address of Contributor.

❸ Provide the Check Number (if applicable) and Amount.

❹ Provide the total of previous contributions from this Contributor, received during the relevant time period. If the total from the contributor exceeds $99.00 for that Reporting Period or for the relevant time period for the Filer, those contributions must be itemized. For PACs and Party Committees, the relevant time period is the Calendar Year. For all other Committees, including Candidates, the relevant time period is the Campaign Cycle. See "Itemized/Unitemized" in the Frequently Used Terms section of the *Handbook* for details.

❺ Provide the total monetary contributions for each page.

❻ Complete the summary section on the last page of this schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2b of the Summary Page.

MONETARY CONTRIBUTIONS/All Other Schedule C

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __OF__
DATE RECEIVED ❶	NAME ❷ STREET APT CITY-STATE ZIP		CHECK # ❸	AMOUNT $	PREV. AMT. ❹ $

TOTAL THIS PAGE	$ ❺

❻

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule C is used to report all monetary contributions from other entities, such as Political Committees, Unincorporated Unions, Unincorporated Associations, etc. Limited Liability Companies (LLC) are also reported on Schedule C.

All Unitemized Contributions for the Reporting Period should be added together and listed as "Total Unitemized Contributions" on the last page of your Schedule C. Detailed records must be kept of all contributions (i.e., Name of Contributor, Date Received, Amount), regardless of the amount. At anytime the $99.00 threshold is exceeded from a particular Contributor, from a single or aggregate contribution, during the applicable Cycle (Calendar Year or Election Cycle, depending on the Filer), then the contributions must be itemized. See "Itemized/Unitemized" in the Frequently Used Terms section of the *Handbook* for details.

❶ Provide the date the monetary contribution was received.

❷ Provide the complete name and mailing address of contributor.

❸ Provide the check number (if applicable) and amount.

❹ Provide the total of previous contributions from this Contributor, received during the relevant time period. If the total from the contributor exceeds $99.00 for that Reporting Period or for the relevant time period for the Filer, those contributions must be itemized. For PACs and Party Committees, the relevant time period is the Calendar Year. For all other Committees, including Candidates, the relevant time period is the Campaign Cycle. See "Itemized/Unitemized" in the Frequently Used Terms section of the *Handbook* for details.

❺ Provide the total monetary contributions for each page.

❻ Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2c of the Summary Page.

IN-KIND CONTRIBUTIONS Schedule D

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED ❶	NAME ❸			TYPE CODE ❹
	STREET		APT	$ ❺
CNTRB CODE: ❷	CITY-STATE		ZIP	DESCRIPTION ❻

TOTAL THIS PAGE	$ ❼
① TOTAL ITEMIZED CONTRIBUTIONS	$ ❽
② TOTAL UNITEMIZED CONTRIBUTIONS	$ ❾
③ SCHEDULE TOTAL LAST PAGE ONLY	$ ❿

CONTRIBUTOR CODE:

CAN = CANDIDATE/CANDIDATE SPOUSE
FAM = FAMILY MEMBER (See Instructions)
CORP= CORPORATE
IND = INDIVIDUAL
PART = PARTNERSHIP
COMM = Committee
OTHER= Please explain
Note: "OTHER" is not available for electronic filers.

CONTRIBUTION TYPE CODE:

1 = SERVICES/FACILITIES PROVIDED
2 = PROPERTY GIVEN
3 = CAMPAIGN EXPENSES PAID

NOTE: When a Partnership's total aggregate contribution exceed $2,500, (Calendar Year for Constituted/Party Committees/PACs; Election Cycle for Candidates/Candidate's Committees) a Schedule O must also be completed.

Schedule D is used to report In-Kind (Non-Monetary) Contributions: 1) services/facilities; 2) goods, property and equipment; and 3) expenses incurred that were paid by someone else.

❶ Provide the date the non-monetary contribution was received.

❷ Provide the Contributor Code.

❸ Provide complete name and address of contributor.

❹ Provide the Contribution Type Code. (1, 2 or 3).

❺ Provide the amount of the in-kind contribution.

❻ Provide a brief description of the in-kind contribution.

❼ Provide the page total.

❽ Provide the total itemized in-kind contributions for all pages.

❾ Provide the unitemized in-kind contributions from your records. These are in-kind contributions of $99.00 or less. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule D.

❿ Provide the schedule total of all itemized and unitemized in-kind contributions.

⓫ Forward the Schedule Total to Line 2d of the Summary Page.

NOTE: For Electronic Filers with NYSBOE, In-Kind Contributions received by Party/Constituted Committees for Housekeeping ONLY are reported on Schedule P and out on Schedule Q simultaneously, with an explanation.

OTHER RECEIPTS Schedule E

DATE RECEIVED	NAME ❷	☐ INTEREST/DIVIDEND ☐ PROCEEDS SALE/LEASE ☐ OTHER -EXPLAIN	RECEIPT AMOUNT
❶	STREET APT	❸	$ ❹
	CITY-STATE ZIP		

TOTAL THIS PAGE	$ ❺
TOTAL ITEMIZED RECEIPTS	$ ❻
TOTAL UNITEMIZED RECEIPTS	$ ❼
SCHEDULE TOTAL LAST PAGE ONLY	$ ❽

Schedule E is used to report miscellaneous receipts such as interest received on a bank account or loan, dividends from investments, or proceeds from the sale or lease of campaign property or equipment.

❶ Provide the date received.

❷ Provide the name and complete address of the payor.

❸ Check the box indicating the type of receipt or provide a description for "other".

❹ Provide the amount received.

❺ Provide the page total.
(Complete the Summary Section items 6 through 8 on the last page of the Schedules)

❻ Provide the total itemized receipts from all pages.

❼ Provide the total unitemized receipts from your records.

❽ Provide the Schedule Total and forward to line 3a of the Summary Page.

EXPENDITURE/PAYMENTS Schedule F

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES		PAGE

DATE PAID ❶	NAME ❷	PURPOSE CODE ❸	EXPLAIN	AMT ❹
	STREET			
CHECK NO.	CITY-STATE ZIP			$

TOTAL THIS PAGE	$ ❺

Expenditure Purpose codes

CMAIL	Campaign Mailings	POLLS	Polling Costs
CONSL	Campaign Consultant*	POSTA	Postage
CONSV	Constituent Services	PRINT	Print Ads
CNTRB	Political Contributions	PROFL	Professional Services *
FUNDR	Fundraising	RADIO	Radio Ads
LITER	Campaign Literature	RENTO	Office Rent
OFFCE	Office Expenses	TVADS	Television Ads
OTHER	Other: Must provide explanation	VOTER	Voter Registration Materials or Services
PETIT	Petition Expenses	WAGES	Campaign Workers' Salaries
INT	Interest Expense		

*Sub Contractors must be further defined in Schedule O - See Instructions on Schedule O.

❻

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED EXPENDITURES	$
② TOTAL UNITEMIZED EXPENDITURES	$
③ **Schedule Total**	$

Schedule F is used to report all campaign expenses, and all political contributions to other Candidates and Political Committees, other than Transfers. Transfers Out are reported on Schedule H. (See Frequently Used Terms for definition of Transfers.) You must provide the detail for each expenditure that exceeds $49.99.

❶ Provide the date paid and check number.

❷ Provide the complete name and address of payee.

❸ Provide the appropriate purpose code. When using code "other", provide an explanation.

❹ Provide the amount of each entry.

❺ Provide the total for this page.

❻ Total all pages of schedule F in Box 1 - total itemized expenditures. Place the total of all unitemized expenditures (from your records) in Box 2 - unitemized expenditure box. Add the itemized and unitemized amounts to arrive at the total expenditure amount, which is placed in Box 3. Forward Box 3 total to line 6a of the Summary Page.

EXPENDITURE/PAYMENTS Schedule F

ATTENTI0N CAMPAIGN FINANCIAL DISCLOSURE FILERS

During the course of committee/candidate financial disclosure statement reviews, the New York State Board of Elections sends numerous letters for clarification of Schedule F transactions. To help ensure that Schedule F is submitted completely and correctly, the Board has redefined the Schedule F codes and provided examples to illustrate correct usage of these codes and proper completion of Schedule F.

Schedule F is used to report all disbursements made in connection with a campaign, other than loan repayments, refunds of contributions and transfers out. The law requires, in addition to other information, that a clearly stated purpose be provided. For the purpose of saving space and to provide some uniformity, the State Board of Elections developed expenditure/payment codes to be used on Schedule F.

The codes listed on Schedule F are the ONLY ones to be used. Failure to provide a code will result in correspondence from this Board. Following are the codes authorized for use on Schedule F, the definition of the code, and examples of the expenses for which you would use a particular code.

Sometimes a particular expense may fit into more than one code. You should use the code most representative of the expense. For example: You purchase stamps for day to day correspondence, bills, etc. This would be listed as POSTA. However, when you purchase stamps for a mass mailing to voters or contributors, that would most properly be reported as CMAIL. You should list an item only under one code.

The following pages and examples will:

(1) review and further explain the proper codes to use when identifying a committee's expenses; and

(2) explain the proper reporting method for the reimbursement of individuals or the making of payments to credit card companies for campaign expenses.

EXPENDITURE/PAYMENTS Schedule F

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
		DO NOT report Transfers Out on this Schedule		
DATE PAID ❶	NAME ❷ STREET APT	PURPOSE CODE ❸	EXPLAIN	AMT PAID ❹
CHECK NO.	CITY-STATE ZIP			$
		TOTAL THIS PAGE	$ ❺	

EXPENDITURE PURPOSE CODES

CODE	DEFINITION	EXAMPLES ⌂
CMAIL:	Campaign Mailings	cost to produce mailing envelopes, typing, printing, design
CONSL:	Consultant Services	consultant's fees, subcontracts (see instructions for Schedule O)*
CONSV:	Constituent Services	district office renovations, supplies, telephones**
CNTRB:	Political Contributions	
FUNDR:	Fund raising:***	meals, entertainment, hall rental, tickets
LITER:	Campaign Literature	palm cards, flyers, brochures, lawn signs, letters, billboards, voter lists, printing, circulation costs
OFFCE:	Office Expenses	utilities, telephone, equipment, supplies, cleaning
OTHER:	Other	(must provide explanation, i.e., campaign van rental, campaign travel, tuxedo rental, reimbursements)
PETIT:	Petition Expenses	voter lists, printing, circulation costs,
INT:	Interest Expense	loan interest, late payment charges

CODE	DEFINITION	EXAMPLES ⌂
POLLS:	Polling Costs	pollster fee, telephones, voter lists
POSTA:	Postage	includes all mailing and delivery service production and placement expense paid directly by the candidate
PRINT:	Print Ads	
RADIO:	Radio Ads	
TV ADS:	Television Ads	
PROFL:	Professional Services*	accounting fees, legal fees, speech writing
RENTO:	Office Rent	
VOTER:	Voter Registration Materials	maps, printing, mailing costs or services
WAGES:	Campaign Workers' Salaries	

⌂ Including but not limited to items listed.

*Subcontractors must be further defined in Schedule O - See Instructions on Schedule O.

**CONSV can be used only by a political office holder to better serve your constituents or better serve your office.

***Expenses to conduct your own fund raiser are fund raising expenses. Purchasing tickets to another candidate's fund raiser is a political contribution and you would use the code CNTRB. For candidates, purchasing tickets to a state or county committee's fund raiser is a transfer-out on Schedule H.

You must provide the detail for each expenditure that exceeds $49.99.

❶ Provide the date paid and check number.
❷ Provide the complete name and address of payee.
❸ Provide the appropriate purpose code.
[When using code "other" provide an explanation]
❹ Provide the amount of each entry.
❺ Provide the total for this page.
❻ Total all pages of schedule F in Box 1 - total itemized.

❻ **Complete this summary on your last page only!**

① **TOTAL ITEMIZED EXPENDITURES**	$
② **TOTAL UNITEMIZED EXPENDITURES**	$
③ **Schedule Total**	$

Place the total of all unitemized expenditures (from your records) in Box 2 - unitemized expenditure box. Add the itemized and unitemized amounts to arrive at the total expenditure amount, which is placed in Box 3. Forward Box 3 total to line 6a of the Summary Page.

REIMBURSEMENTS TO INDIVIDUALS OR CREDIT CARDS:

A major problem that many filers encounter is how to correctly report a payment when it is to reimburse an individual for expenditures (s)he made to a vendor on behalf of the campaign. A similar problem occurs when payments are made for campaign expenses via credit card. **We expect that payments to persons are for personal services (wages, fees, and/or stipends for work they performed for the campaign)**. If you are reimbursing a person for non-personal services for something (s)he purchased for the campaign, from a vendor, then you must report the transaction as in the following example:

YOU SHOULD REPORT A REIMBURSEMENT TO A PERSON AS FOLLOWS:

FIRST ENTRY:

❶Date Paid	❷Payee	❸Purpose	❹Street	❺City	❻State	❼Zip	❽Check/Ref #	❾Amount Paid	❿Explanation
6/3/1999	John Doe	OTHER	123 5th Av	Troy	NY	12180	1248	$600	Reimbursement

DATE PAID	NAME **John Doe** ❷	PURPOSE CODE	EXPLAIN	AMT. PAID
❶ **6/3/1999**	❹ APT STREET **123 5th Avenue**	**OTHER** ❸	**Reimbursement**	❾
CHECK NO.	CITY-STATE ❺ **Troy,** ❻ **NY** ZIP ❼ **12180**			**$ 600.00**

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded $49.99, for example:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref #	Explanation
5/5/1999	Print it	PETIT	24 Elm St	Cohoes	NY	12047	1248R	memo $240
5/19/1999	WTRY	RADIO	88th 4th St	Troy	NY	12183	1248R	memo $240
6/3/1999	Unitemized	OTHER					1248R	memo $120

DATE PAID	NAME **Print It**	PURPOSE CODE	EXPLAIN	AMT PAID
5/5/1999	STREET **24 Elm St** **APT**	**PETIT**	**Memo $240**	
CHECK NO. **1248R**	CITY-STATE **Cohoes** **NY** **ZIP** **12047**			$

DATE PAID	NAME **WTRY**	PURPOSE CODE	EXPLAIN	AMT PAID
5/19/1999	STREET **88 4th St**	**RADIO**	**Memo $240**	
CHECK NO. **1248R**	CITY-STATE **Troy** **NY** ZIP **12183**			$

DATE PAID	NAME **Unitemized**	PURPOSE CODE	EXPLAIN	AMT PAID
6/3/1999	STREET	**OTHER**	**Memo $120**	
CHECK NO. **1248R**	CITY-STATE ZIP			$

NOTE: In our example above, **on the subsequent entries,** you provided the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under $50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitemized. In the EXPLAIN column use the word memo with the unitemized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank.** In both examples when there are several unitemized payments use the date of the reimbursement for the date paid.

YOU SHOULD REPORT A REIMBURSEMENT FOR A CREDIT CARD AS FOLLOWS:

FIRST ENTRY:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref#	Amount Paid	Explanation
6/3/1999	GM Card	OTHER	75 Minot St	Albany	NY	12187	1312	$800.00	Reimbursement

DATE PAID	NAME **GM Card**	PURPOSE	EXPLAIN	AMT PAID
6/3/1999	STREET **75 Minot St**	**OTHER**		
CHECK NO.	CITY-STATE **Albany NY** ZIP **12187**	**Reimbursement**		**$ 800.00**

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded $49.99, for example:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref#	Amount Paid	Explanation
5/5/1999	Staples	OFFCE	RT#5	Albany	NY	12353	1312R		Memo $300.00
5/19/1999	Nusbaum's	LITER	847 2ND Ave	Troy	NY	12382	1312R		Memo $300.00
6/3/1999	Unitimized	OTHER					1312R		Memo $200.00

DATE PAID	NAME	PURPOSE CODE	EXPLAIN	AMT PAID
5/5/1999	NAME **Staples** STREET **Rt #5**	**OFFICE**		
CHECK NO. **1312R**	CITY-STATE **Albany NY** ZIP **12353**	**Memo $300**		$
DATE PAID **5/19/1999**	NAME **Nusbaum's** STREET **847 2nd Ave** APT	PURPOSE CODE **LITER**	EXPLAIN	AMT PAID
CHECK NO. **1312R**	CITY-STATE **Troy NY** ZIP **12382**	**Memo $300**		$
DATE PAID **6/3/1999**	NAME **Unitemized** STREET APT	PURPOSE CODE **OTHER**	EXPLAIN	AMT PAID
CHECK NO. **1312R**	CITY-STATE Zip	**memo $200**		$

NOTE: In our example above, **on the subsequent entries**, you provide the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under $50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitemized. In the EXPLAIN column use the word memo with the unitemized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank**. In both examples when there are several unitemized payments, use the date of the reimbursement for the date paid.

Receipts from Party Committees and/or other committees authorized solely for this candidate

(TRANSFERS IN) Schedule G

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE ❶	NAME ❷		TRANSFER TYPE 1 ☐ ❸ 2 ☐	AMOUNT TRANSFERRED ❹ $
	STREET	APT		
CHECK #	CITY-STATE	ZIP		

TYPE 1 - Between a Party or Constituted Committee and a Candidate or a Candidate's Authorized Committee.

TYPE 2 - Between two (2) Authorized Committees <u>solely</u> supporting the <u>same</u> candidate.

TOTAL THIS PAGE	$ ❺
Schedule Total Last Page Only	$ ❻

Schedule G is used to report **<u>Transfers In</u>.** Transfer means the exchange of funds or anything of value between: a) a Party or Constituted Committee and a Candidate or any of his/her Authorized Committees; or (b) two (2) Committees **<u>solely</u>** supporting the same Candidate (including tickets to Fundraisers).

❶ Provide the date received for Transfers In and the check number.

❷ Provide the complete name and address of Transferor.

❸ Check the appropriate box for the type of transfer.

❹ Provide the amount of the transfer.

❺ Provide the total transferred amount for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 3b of the Summary Page.

NOTE: Do not report funds received from Independent Committees or Committees authorized by a different Candidate as a transfer. These receipts must be reported as a Contribution on Schedule C.

PACs (Political Action Committees) must **not** use this schedule. Any monies received by PACs must be reported on Schedule A, B, or C depending on the type of contributors.

Payments to Party Committees and/or Other Committees Authorized Solely for this Candidate

(TRANSFERS OUT) Schedule H

DATE	NAME ❷		TRANSFER TYPE	AMOUNT TRANSFERRED
❶	STREET	APT	1 ☐ ❸	❹
CHECK #	CITY-STATE	ZIP	2 ☐	$

TYPE 1 - Between a Party or Constituted Committee and a Candidate or a Candidate's Authorized Committee.

TYPE 2 - Between two (2) Authorized Committees solely supporting the same Candidate.

TOTAL THIS PAGE	$ ❺
SCHEDULE TOTAL Last Page Only	$ ❻

Schedule H is used to report **Transfers Out**. Transfer means the exchange of funds or anything of value between: a) a Party or Constituted Committee and a Candidate **or** any of his/her Authorized Committees; or b) two (2) Committees **solely** supporting the same Candidate (including tickets to Fundraisers).

❶ Provide the date paid for Transfers out and the check number.

❷ Provide the complete name and address of Transferee.

❸ Check the appropriate box for the Type of Transfer.

❹ Provide the Amount of the Transfer.

❺ Provide the Transfer Total for this page.

❻ On the last page of this Schedule, place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 6c of the Summary Page.

NOTE: Do not report funds given or paid to Independent Committees or Committees authorized by a different Candidate as a Transfer. Those must be reported as a payment on Schedule F.

PACs (Political Action Committees) must **NOT** use this schedule. Any monies given or paid for political purposes must be reported on Schedule F.

LOANS RECEIVED   Schedule I

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

LOAN DATE ❶	LENDER NAME ❷	LOAN AMOUNT $ ❸
	STREET APT	
☐ CHECK IF BANK LOAN	CITY-STATE ZIP	

When submitting this Schedule to the Board of Elections, **a copy of the Evidence of Indebtedness for each loan must be attached to the Statement.**

TOTAL THIS PAGE	$ ❹
SCHEDULE TOTAL Last Page Only	$ ❺

Schedule I is used to report Loans Received during the reporting period. Evidence of indebtedness (a signed copy of a promissory note or a letter outlining loan details) for each loan must be submitted in conjunction with the applicable Report by to the County and/or State Boards of Elections. Such evidence must include the name and address of the lender, the amount of loan, any interest to be charged and the repayment schedule. If the loan was received from a lending institution (or any other loan where applicable), the evidence of indebtedness must include the name and address of any co-signor, obligor or any other person providing security for or otherwise guaranteeing the loan.

❶ Provide the date of the loan and indicate if a bank loan.

❷ Provide the complete name and address of the lender, guarantor, or co-signer.

❸ Provide the loan amount.

❹ Provide the loan amount page total.

❺ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 3c of the Summary Page.

Note: A loan made to a Candidate or Political Committee, other than a Constituted Committee, by any person, firm, association or corporation other than in the regular course of the lender's business (i.e., Banks) shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by such person, firm, association or corporation.

A loan made to a Candidate or Political Committee, other than a Constituted Committee, by any person, firm, association or corporation in the regular course of the lender's business (i.e., Banks) shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by the obligor on the loan and by any other person endorsing, cosigning, guaranteeing, collateralizing or otherwise providing security for the loan.

However, any outstanding liability remains, and you must continue to report it on Schedule N until it is repaid or forgiven.

LOAN REPAYMENTS Schedule J

ORIGINAL LOAN DATE	LENDER NAME ❷		CHECK NO. ❸	AMOUNT ❹
❶	STREET	APT		
	CITY-STATE	ZIP	DATE	$

TOTAL THIS PAGE	$ ❺
SCHEDULE TOTAL Last Page Only	$ ❻

Schedule J is used to record the repayment of loans received. Only repayments of principal are reported here. Interest payments are reported on Schedule F.

❶ Provide the original date of the loan.

❷ Provide the complete name and address of the lender. .

❸ Provide the check number and the date repaid.

❹ Provide the amount paid.

❺ Provide the loan repayment total for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6d of the Summary Page.

LIABILITIES /LOANS FORGIVEN Schedule K

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE ❶	VENDOR/LENDER ❷		❸ ☐ LIABILITY ☐ LOAN	AMOUNT FORGIVEN ❹
ORIGINAL DATE OF LIABILITY/LOAN	STREET	APT		
	CITY-STATE	ZIP		

A copy of a signed letter from the Vendor/Lender indicating the amount of the Liability/Loan that has been forgiven must be submitted in conjunction with the applicable Report to the County and/or State Board(s) of Elections.

TOTAL THIS PAGE	$ ❺
SCHEDULE TOTAL LAST PAGE	$ ❻

Schedule K is used to report that a Creditor or a Lender has Forgiven an Outstanding Debt. This includes any outstanding amounts owed to the Candidate which are forgiven by the Candidate.

❶ Provide the date forgiven and the original date of debt.

❷ Provide the complete name and address of the creditor/lender.

❸ Check box for liability or loan forgiven.

❹ Provide the amount of the liability/loan forgiven.

❺ Provide the total amounts of liabilities and loans forgiven for this page.

❻ On the last page of this schedule, place the Total of Liabilities and Loans forgiven from all pages in the Schedule Total Box.

Note: Loans or liabilities that are forgiven are considered contributions for limit purposes, and are subject to Contribution Limits for the applicable Election or Calendar Year Cycle. Forgiveness can result in the receipt of an over-contribution, if the amount forgiven: 1) is, in and of itself, greater than the applicable Contribution Limit, or 2) when added to the previous contribution(s) of the Contributor who is forgiving the loan or liability, results in an aggregate amount which is greater than the applicable Contribution Limit.

Filers are strongly cautioned to consider the applicable Contribution Limit as applied to the amount to be forgiven, as well as cautioned to review the contribution history of the particular Contributor who will be forgiving a loan or liability.

EXPENDITURE REFUNDS Schedule L

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

DATE RECEIVED		ORIG. PAYMENT DATE
❶	NAME ❷	❸
	STREET	
	CITY-STATE ZIP	AMOUNT $

TOTAL THIS PAGE	$ ❹
SCHEDULE TOTAL LAST PAGE ONLY	$ ❺

Schedule L is used to report expenditure refunds (errors, overpayments, adjustments, return of deposits, uncashed checks, etc.) of previously reported campaign expenses.

❶ Provide the date received.

❷ Provide the complete name and address of the payor.

❸ Provide the date of original payment and the amount refunded.

❹ Provide the total amounts of expenditure refunds for this page.

❺ On the last page of this schedule, place the total of all pages in the Schedule Total Box. Forward the amount to 3d of the Summary Page.

CONTRIBUTIONS REFUNDED Schedule M

REFUND DATE	ORIG.DATE REC.	CONTRIBUTOR NAME ❸		AMOUNT REFUNDED ❹
❶	❷	STREET	APT	$
		CITY-STATE	ZIP	CHECK #
			TOTAL THIS PAGE	$ ❺
			SCHEDULE TOTAL Last Page Only	❻ $

Schedule M is used to report the Return/Refund of previously deposited/reported Contributions to the Contributor. You may not refund more than the amount contributed.

❶ Provide the date you refunded the money.

❷ Provide the date(s) it was received.

❸ Provide the complete name and address of the contributor.

❹ Provide the amount of the refund and the check number.

❺ Provide the total amount refunded for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6e of the Summary Page.

OUTSTANDING LIABILITIES/LOANS Schedule N

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __ OF__

DATE ❶	NAME ❷ STREET APT	Total Orig. Amt. [ ] Liability [ ] Loan $___________	Purpose Code _______ Explain: ___________	Liability Amount Outstanding $___________	Loan Amount Outstanding
☐ CURRENT ☐ PRIOR	CITY-STATE ZIP	❸	❹	❺	❻

TOTAL THIS PAGE	❼	$
SCHEDULE TOTAL	❽	$

Purpose of Liability/Loan Codes

CMAIL	Campaign Mailings	POLLS	Polling Costs
CONSL	Campaign Consultant	POSTA	Postage
CONSV	Constituent Services	PRINT	Print Ads
FUNDR	Fund-raising	PROFL	Professional Services
LITER	Campaign Literature	RADIO	Radio Ads
LOAN	Loan	RENTO	Office Rent
OFFCE	Office Expenses	TVADS	Television Ads
OTHER	Other: Must provide explanation	VOTER	Voter Registration Materials or Services
PETIT	Petition Expenses	WAGES	Campaign Workers' Salaries

Schedule N is used to report: a) outstanding liabilities for goods or services received; b) outstanding loans received; or c) the outstanding portions thereof. Each report should include liabilities/loans that have not been paid or forgiven as of the cutoff date for the report.

❶ Provide the date of liability/loan and whether it was during the current report period or a prior report period.

❷ Provide the complete name and address of the vendor or lender.

❸ Provide the total amount of the original liability/loan.

❹ Indicate by using the appropriate code, the purpose. If using code 'other' , provide an explanation.

❺ Provide the amount of the liability still outstanding.

❻ Provide the amount of the loan still outstanding.

❼ Provide page totals for columns 5 & 6.

❽ Provide schedule totals for columns 5 & 6 on the last page of this schedule.

Forward the column 5, schedule liabilities total to line 9g of the Status of Campaign Expense section.

NOTE: A Filer cannot terminate while having any outstanding liabilities or loans, or portions thereof.

PARTNERS | SUBCONTRACTS Schedule O

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

AMT. OF CONTRIBUTION ❶ $	PARTNERSHIP NAME ❷	PAYEE NAME ❶
DATE RECEIVED	STREET	STREET APT
	CITY-STATE ZIP	CITY - STATE ZIP

PARTNER NAME			PROVIDER OF FINISHED GOODS / SERVICES:	
❸ LAST FIRST MI	AMOUNT ATTRIBUTED ❹ $	PREVIOUS AMOUNT $	NAME ❷	AMT ATTRIBUTED ❸ $
STREET APT			STREET APT	
CITY/STATE ZIP			CITY/STATE ZIP	❹ CODE
TOTAL AMOUNT ATTRIBUTED	A ❺	A		
TOTAL AMOUNT UNITEMIZED	B ❻	B		
TOTAL AMOUNT CONTRIBUTION	A+B $ ❼	A+B	**PLEASE USE "PURPOSE CODES" FOUND ON SCHEDULE F OR N**	

Schedule O is used to furnish additional information about partnership contributions or subcontractor payments.

PARTNERSHIPS - see Sch. A/D Instructions

❶ Provide the amount (and date) of the contribution as reported on Schedule A and/or D.

❷ Provide the partnership name and address.

❸ Whenever a partnership's contribution(s) exceed(s) $2500.00 to an election campaign, the names and addresses of the individual partners whose shares of the contribution exceed $99.00 must be provided along with the amount attributable to each partner.

❹ Provide the amount atttributed and any previous amounts.

❺ Provide the total of all attributable amounts.

❻ For all partners whose shares do not exceed $99.00 you will place the total of those shares in the unitemized box in the summary section.

❼ Total amount of contribution Box = total of boxes A and B.

SUBCONTRACTORS

❶ Provide the complete name and address of the person, entity, or consultant paid by the campaign.

❷ Provide the complete name and address of the sub-contractor.

❸ Provide the amount attributed.

❹ Provide the proper expenditure code as found in Schedule F or N.

NOTE: The above information is required for any subcontracted amount greater than $10,000 in the case of Statewide candidates and $5,000 for all other offices. This subcontractor information can be reported either on the report which lists the expenditure to the consultant or on the post-election report to which the transaction(s) relates.

*NON-CAMPAIGN HOUSEKEEPING RECEIPTS Schedule P

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED ❶				
	NAME ❸		AMOUNT	PREV. AMT.
CODE: ❷	STREET APT		❹	❺
CHECK #	CITY-STATE ZIP		$	$
		❻ TOTAL THIS PAGE	$	

CODE:
IND = INDIVIDUAL
CORP = CORPORATION
PART = PARTNERSHIP: Partnerships which contribute over $2500.00 total, must be further defined in Schedule O.
COMM = COMMITTEE
OTHER = ANY OTHER ENTITY

❼
Complete this summary on your last page only!

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ Schedule Total	❽ $

Schedule P **is used by Party and Constituted Committees to report receipts associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3).**

❶ Provide the date received.

❷ Indicate the type of contributor and the check #.

❸ Provide complete name and address of the contributor.

❹ Provide the amount for contributions received.

❺ List any previous contributions received during the calendar year.

❻ Provide total monetary contributions for each page.

❼ On the last page of this schedule, place the total of all itemized receipts in Box 1 of the Summary section. Place the total of all unitemized amounts** (from your records) in Box 2 of the Summary section.

❽ Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 3e of the Summary Page.

* **This schedule to be used <u>ONLY</u> by Party or Constituted Committees.**

** **The threshold for itemizing is an aggregate over $99.00 for the calendar year.**

Note: Returned housekeeping receipts should be listed on this schedule, and as negative amounts.

*NON-CAMPAIGN HOUSEKEEPING EXPENSES Schedule Q

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __ OF__
DATE PAID ❶	NAME ❷ STREET	PURPOSE CODE ___❸___	EXPLAIN	AMT PAID ❹
CHECK NO.	CITY-STATE ZIP			$
		TOTAL THIS PAGE		$ ❺

EXPENDITURE PURPOSE CODES (Use on Schedule Q only)

RENTO	Office rent
UTILS	Utilities
PAYRL	Payroll
POSTA	Postage
PROFL	Professional Services
OFEXP	Office Expenses
MAILS	Mailings
OTHER	Other: Provide Explanation
VOTER	Voter Registration Materials or Services

❻
Complete this Summary on your last page only!

① TOTAL ITEMIZED EXPENDITURES	$
② TOTAL UNITEMIZED EXPENDITURES **	$
③ Schedule Total	$ ❼

Schedule Q is used by Party and Constituted Committees to report expenses associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3)

❶ Provide the date paid and check number.

❷ Provide the complete name and address of payee.

❸ Provide the appropriate purpose code. When using code "other" provide an explanation.

❹ Provide the amount of each entry.

❺ Provide the total of each page.

❻ Total all pages of Schedule Q in Box 1 - total itemized expenditures. Place the total of all unitemized expenditures* *(from your records) in Box 2 - unitemized expenditure box.

❼ Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 6f of the Summary page.

*** This schedule to be used only by Party or Constituted Committees.**

**** All individual expenditures under 50.00**

Note: Returned housekeeping expenditures should be listed on this schedule, and as negative amounts.

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		

SUMMARY OF RECEIPTS / EXPENDITURES

1. OPENING BALANCE - must be the same as line 7 of your previous report . . . .$___________

2. CONTRIBUTIONS

2a) SCHEDULE A - Individuals - total...................... $___________

2b) SCHEDULE B - Corporations - total.................. $___________

2c) SCHEDULE C - Other - total.............................. $___________

2d) SCHEDULE D - In-kind - total............................ $ ___________

2e) Total Contributions (add 2a through 2d)..$___________

3. MISCELLANEOUS RECEIPTS

3a) SCHEDULE E - Other receipts - total.................. $ ___________

3b) SCHEDULE G - transfers in - total...................... $ ___________

3c) SCHEDULE I - loans received - total.................. $ ___________

3d) SCEDULE L - Expenditure refunds - total........... $ ___________

3e) SCHEDULE P - Housekeeping receipts - total... $ ___________

3f) Total Miscellaneous Receipts (add 3a through 3e)..................................$___________

4. TOTAL RECEIPTS THIS PERIOD (add 2e and 3f)..$___________

5. TOTAL (add line 1 and line 4).. $___________

6. EXPENSES

6a) Schedule F - Disbursements - total..................... $ ___________

6b) Schedule D total..(offset).. $ ___________

6c) Schedule H - Transfers out - total.......................... $ ___________

6d) Schedule J - Loans repaid - total........................... $ ___________

6e) Schedule M - Contribution refunds - total............. $ ___________

6f) Schedule Q - Housekeeping expenses - total...... $ ___________

6g) TOTAL Expenses this period (add 6a through 6f).. $___________

7. BALANCE AT END OF PERIOD (subtract line 6g from line 5)...$___________

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		

STATUS REPORT

8. STATUS OF CONTRIBUTIONS

8a) Contributions received, from line 8e of your previous report * . . . . $__________

8b) Contributions received this period, line 2e . . . . $__________

8c) TOTAL, line 8a plus 8b . . . . $__________

8d) Contributions refunded, from this summary, line 6e . . . . $__________

8e) TOTAL contributions to date (line 8c minus 8d) . . . . $__________

*This figure will be 0 (zero) if this is the first report of a new campaign.

9. STATUS OF CAMPAIGN EXPENSES

9a) Campaign expenses paid, from line 9f of your previous report* . . . . $__________

9b) Campaign expenses this period, line 6a . . . . $__________

9c) In-Kind offset, Schedule D total . . . . $__________

9d) TOTAL add lines 9a throug9c . . . . $__________

9e) Refunds of campaign expenses, from this summary, line 3d . . . . $__________

9f) SUB-TOTAL campaign expenses to date (line 9d minus 9e) . . . . $__________

9g) Outstanding liabilities (Schedule N total, excluding loans) . . . . $__________

9h) Total Campaign Expenses to date (line 9f plus line 9g) . . . . $__________

*This figure will be 0 (zero) if this is the first report of a new campaign.

9i. EXPENSE ALLOCATION SECTION (Schedule R of Electronic filing) (See instructions for 9i on page 60.)

Candidate name	Office/District	Election Year	$ Amount

TOTAL AMOUNT ALLOCATED (please use additional pages if necessary) . . . . $__________

10. STATUS OF LOANS MADE

10a) Loans made to date, from line 10f of your previous report . . . . $__________

10b) Loans made this period, from your records . . . . $__________

10c) TOTAL, line 10a plus 10b . . . . $__________

10d) Amounts included in 10c above, which were repaid this period . . . . $__________

10e) Amounts included in 10c above, which were forgiven this period . . . . $__________

10f) Balance of loans made to date (line 10c minus 10d and 10e) . . . . $__________

11. STATUS OF HOUSEKEEPING RECEIPTS

11a) Housekeeping receipts ONLY, from line 11c of your previous report . . . . $__________

11b) Housekeeping receipts this period, from this summary, line 3e . . . . $__________

11c) TOTAL housekeeping receipts to date, (line 11a plus 11b) . . . . $__________

12. STATUS OF HOUSEKEEPING EXPENSES

12a) Housekeeping expenses ONLY, from line 12c of your previous report . . . . $__________

12b) Housekeeping expenses this period, from this summary, line 6f . . . . $__________

12c) TOTAL housekeeping expenses to date (line 12a plus 12b) . . . . $__________

Instructions for Summary and Status Page

A. Summary Page

After all detail schedules have been completed, you must then complete the summary. Each line on this summary will contain the total from the corresponding detail schedule in the report, except Line 6B.

Complete the heading of the Summary Page

Line 1 reflects your opening balance. This will be zero on the first report for a new candidate or committee. It will then be the ending balance on your previous report for any active filer.

Line 2a thru 2d will reflect any contributions from Schedules A through D of this report (2d, in-kind contribution total must be included on line 6b.)

Line 2e will be the total of 2a through 2d.

Line 3a through 3e will reflect other receipts from Schedules E, G, I, L or P, as appropriate.

Line 3f will be the total of lines 3a through 3e.

Line 4 will be the total of lines 2e and 3f.

Line 5 will be the total of lines 1 and 4.

Lines 6a through 6f will reflect the totals from the appropriate detail schedules.

Line 6a reflects the amount entered in Box 3, Schedule F.

Line 6b is an offset entry. (Place Schedule D total here)

Line 6c through 6f will reflect the totals from Schedules H, J, M or Q, as appropriate.

Line 6g will be the total of lines 6a through 6f.

Line 7 equals line 5 minus line 6g. This should never be negative.

B. Status Report - Paper Filers

Complete the heading of the Status Report

Each report filed during a campaign cycle should list those contributions received and campaign expenses incurred for a particular reporting period (lines 8a and 9a), as well as aggregate to date totals for either the calendar year or campaign cycle as described below.

The purpose of the Status of Contributions and Status of Campaign Expense schedules is to enable one to examine the last report filed and to be able to determine the cumulative, to date amounts of all contributions and expenses for the campaign cycle.

Status of Contributions - This schedule will show all contributions received for the campaign less any contributions for the campaign that were refunded.

Line 8a is completed on your second through final reports for the campaign cycle (Calendar year for PACs and Party committees) by bringing forward the total from line 8e of your previous report.

Status of Campaign Expenses - This schedule will show all expenses paid for during the campaign, plus outstanding liabilities incurred for this campaign, less any refunds received that were previously expended for the current campaign.

Line 9a is completed on your second through final reports for the campaign cycle (Calendar year for Party committees) by bringing forward the total from line 9f of your previous report.

Line 9i Allocation Section - Party committees, constituted committees and authorized multi-candidate committees are required to allocate campaign expenses among the candidates they support according to the relative benefit each candidate received from the expenditures. **(These amounts are cumulative per candidate for the campaign cycle)** Paper filers must include this information where indicated on the Status Report. Electronic Filers must create and complete Schedule R.

Remember, candidates generally have either a two or four year campaign cycle.

When a committee spends its first dollar on a candidate for a particular election campaign, they list on this schedule the candidate's name, the office, the district or municipality, and the allocated amount spent for that candidate.

On each subsequent report, this information is carried forward. As the committee spends more on a candidate, the amount will be increased accordingly.

After having reported the total spent on a candidate for a particular campaign, you will no longer carry forward this information.

Status of Loans Made - This section shows the current amount of loans made outstanding and the loan activity for the period. ***You must maintain supporting documentation of any loans made including repayments and forgiveness.***

The Status of Housekeeping Receipts and The Status of Housekeeping Expenses aggregate these items for the calendar year. These are used only by party and constituted committees.

NEW YORK STATE BOARD OF ELECTIONS
VERIFICATION STATEMENT

IDENTIFICATION NO. **(Assigned by the Board)** [ ]

OFFICE & DISTRICT **(If applicable)** [ ] e.g., 12th S.D.

Report Period ______________________________

I, ____,

am the treasurer for the ____ **Committee**

OR

I, ____,

AM A CANDIDATE FOR PUBLIC OFFICE, AND I HAVE SUBMITTED HEREWITH ON COMPUTER DISKETTE, OR HAVE SUBMITTED VIA E-MAIL, THE COMMITTEE'S/CANDIDATE'S FINANCIAL DISCLOSURE STATEMENT FOR THE PERIOD INDICATED BELOW:

1. ☐ **32-Day Pre-Primary**
2. ☐ **11-Day Pre-Primary**
3. ☐ **10-Day Post-Primary ***
4. ☐ **32-Day Pre-General**
5. ☐ **11-Day Pre-General**
6. ☐ **27-Day Post-General ***
7. ☐ **32-Day PreSpecial**
8. ☐ **11-Day Pre-Special**
9. ☐ **27-Day Post-Special ***
10. ☐ **Periodic Jan. 15, 20____**
11. ☐ **Periodic July 15, 20____**
12. ☐ **24-Hour Notice**
13. ☐ **Off-Cycle**

☐ Termination Report

☐ Treasurer Resignation Report
(Copy of letter of Resignation attached)

☐ Amended Report

☐ * Campaign material or a Disclaimer must be submitted with Post Election Reports

☐ See Attached ☐ No Campaign Materials Produced

No-Activity: Be sure to check appropriate report period above.

☐ Although I am required to file a statement for the period indicated, there are no transactions to report, so I have not filed electronically via email or diskette. Note: No-Activity Reports may be filed via the Board's website: www.elections.state.ny.us.

I STATE THAT (i) THE INFORMATION CONTAINED IN THE ELECTRONICALLY FILED DISCLOSURE STATEMENT REFERENCED ABOVE IS IN ALL RESPECTS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF, OR (ii) I HAVE NO TRANSACTIONS TO REPORT FOR THIS PERIOD.

______________________________________ ______________________________________
Name - print or type Preparer's Signature

______________________________________ ___/___/___ (___) ___-____
Title Date Signed Phone Number

KNOWINGLY INCLUDING FALSE INFORMATION IN THE DISCLOSURE STATEMENT IDENTIFIED ABOVE OR ON THIS VERIFICATION STATEMENT CONSTITUTES A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR IMPRISONMENT. SEE PENAL LAW § 210.45

CF-18 3/07

New York State Board of Elections

APPLICATION FOR ELECTRONIC FILING EXEMPTION

(Applications should be received by the Board at least 30 days prior to the filing)

Treasurer/Candidate:__________________________________
(please print name)
Committee Name: __________________________________

Address:____

____

_____________________________________**Zip**_____________

Telephone: (______)________-_____________**Ext.**__________

Identification No.
(assigned by the Board)

Office & District
(if applicable)

e.g., 12th S.D.

I ________________________, swear or affirm that the committee/candidate does not have **access to the technology** necessary to comply with the electronic filing requirements of Subdivision Nine-A of Section 3-102 of the Election Law **AND** that filing by such means would constitute a **substantial hardship** for such committee/candidate.

NOTE: For purposes of granting an exemption to the electronic financial disclosure requirements of Article 14 of the Election Law, the following definitions apply:

"Access to the technology" is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements.

"Substantial hardship" is defined as the financial inability of the candidate/committee to purchase and/or acquire access to the technology necessary to comply with the electronic financial filing requirements.

Please explain the basis of your request for an exemption. (Additional pages may be attached, if needed)

I understand that the exemption is valid **until December 31st of the calendar year for which it is granted** and that I am obligated to inform the State Board of Elections of any change in circumstances which would disqualify the committee/candidate from the exemption for electronic filing. The Board may revoke the exemption at any time. I understand if the exemption is granted I am still obligated to file using the paper form.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

____ Date: ____/____/____
Signature

For Board use only

The Application for the exemption is (check one): □Granted □DENIED** Date: ____/____/________

**(DENIED explanation) ____

By:____

CF-19 3/07

New York State Board of Elections

NOTICE OF INACTIVE STATUS
(CF-20)

Treasurer: ________________________________
(please print name)
Committee Name: ____________________________

Address:____________________________________

____

______________________**Zip**__________

Telephone: (_____)-_______-___________**Ext.**__________

Identification No. [ ]
(assigned by the Board)

Office & District
(if applicable) [ ]

e.g., 12th S.D.

The above-named committee will not support or has not supported, in any way, any candidate or political committee which is a participant in the year _____ Primary Elections and/or the year _____ General Elections.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

____
Signature

_____/_____/_____
Date

Instructions

1. The State Board of Elections assumes that all active committees are supporting candidates for election and therefore we will expect to receive election reports from them (3 Primary Election reports and/or 3 General Election reports),unless otherwise notified.

Note: If you are active only for the Primary Election, or only for the General Election, be sure to cross off the election that does not pertain to you on the form above. We will expect reports only for the specific election in which you took part.

2. Filing of this notice will serve as that notification.

3. This applies only to filers with the State Board of Elections.

4. You are, however, required to continue to make your Periodic filings in July and January.

CF-20 3/07

For more information, or
to obtain additional copies,
contact:

New York State Board of Elections
Campaign Finance Unit
40 Steuben Street
Albany, NY 12207

www.elections.state.ny.us

1-800-458-3453